

# NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

## **Schedule Number: NC-372-75-001**

Some items in this schedule are either obsolete or have been superseded by new NARA approved records schedules. This information is accurate as of:

### **ACTIVE ITEMS**

These items, unless subsequently superseded, may be used by the agency to disposition records. It is the responsibility of the user to verify the items are still active.

### **SUPERSEDED AND OBSOLETE ITEMS**

The remaining items on this schedule may no longer be used to disposition records. They are superseded, obsolete, filing instructions, non-records, or were lined off and not approved at the time of scheduling. References to more recent schedules are provided below as a courtesy. Some items listed here may have been previously annotated on the schedule itself.

Items 150.6, 151.15, 152.18, 153.6, 153.6,160.11 are reference files

Items 150.2,150.4 superseded by GRS 4.2.001 (DAA-GRS-2019-0001-0001)

Items 150.3, 152.9, 152.14 superseded by GRS 4.2.020 (DAA-GRS-2019-0001-0002)

Items 151.1, 151.2, 152.13 superseded by GRS 4.2.001 (DAA-GRS-2019-0001-0001)

Items 151.3 superseded by GRS 4.2.032 (DAA-GRS-2016-0002-0003)

Item 151.4 superseded by GRS 4.2.040 (DAA-GRS-2019-0001-0003)

Item 151.7 superseded by GRS 4.1.010 (DAA-GRS-2013-0002-0016)

Items 151.9, 152.6, 152.7 superseded by GRS 4.2.031 (DAA-GRS-2013-0007-0020)

Item 151.13A superseded by GRS 5.6.200 (DAA-GRS-2017-0006-0027)

Item 151.14 superseded by GRS 5.6.111 (DAA-GRS-2017-0006-0015)

Items 152.4, 152.15 superseded by GRS 5.1.010 (DAA-GRS-2016-0016-0001)

Items 152.8, 152.10 superseded by GRS 4.2.031 (DAA-GRS-2013-0007-0020)

# NOTICE - SOME ITEMS SUPERSEDED OR OBSOLETE

**REQUEST FOR AUTHORITY  
TO DISPOSE OF RECORDS**

(See Instructions on Reverse)

*625 items*

*RG 372*

TO: GENERAL SERVICES ADMINISTRATION,  
NATIONAL ARCHIVES AND RECORDS SERVICE, WASHINGTON, D.C. 20408

1 FROM (AGENCY OR ESTABLISHMENT)  
DEFENSE CONTRACT AUDIT AGENCY

2 MAJOR SUBDIVISION  
HEADQUARTERS, CAMERON STATION, ALEXANDRIA, VA 22314

3 MINOR SUBDIVISION

4 NAME OF PERSON WITH WHOM TO CONFER  
Sybil L. Taylor, Records Administrator

5 TEL EXT  
274-7285

6 CERTIFICATE OF AGENCY REPRESENTATIVE

LEAVE BLANK

DATE RECEIVED  
JUL 23 1974

JOB NO

NC - 372 - 75-1

NOTIFICATION TO AGENCY

In accordance with the provisions of 44 U.S.C. 3303a the disposal request, including amendments, is approved except for items that may be stamped "disposal not approved" or "withdrawn" in column 10

11-7-74 *James B. Rhoads*  
Date Archivist of the United States

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposal of the agency's records, that the records proposed for disposal in this Request of attached page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified

Harry W. Kettles  
Deputy for Resources Management  
(Title)

6-17-74  
(Date)

*Harry W. Kettles*  
(Signature of Agency Representative)

7 ITEM NO	8 DESCRIPTION OF ITEM (With Inclusive Dates or Retention Periods)	9 SAMPLE OR JOB NO	10 ACTION TAKEN
	Chapter 5, DCAA Manual 5015.1, DCAA Files Maintenance and Disposition Manual. Appendix 5-B contains the Files Identification and Disposal Standards for all classes of records now known to be accumulating within all echelons of the Defense Contract Audit Agency.		

*All changes made with approval of S.L. Taylor*  
*11/5/74 - DCAA has requested GAO concurrence*  
*PL Copy to Agency & WNRC 11/12/74*

## CHAPTER 5

## THE DCAA FILES SYSTEM AND RECORDS CONTROL SCHEDULES

I. DCAA RECORDS CONTROL SCHEDULESA. Statutory Requirements

The Records Disposal Act of 1943, as amended, and the Federal Records Act of 1950, as amended, establish the standards for retention, destruction, and transfer of Federal records. The Director of the Defense Contract Audit Agency, as head of a Federal agency, is required to establish and maintain an active, continuing program for the economical and efficient management of the records of the Agency.

B. Background

A detailed study of DCAA records has been completed with the assistance of the National Archives and Records Service (NARS) of the General Services Administration (GSA) and the General Accounting Office (GAO). Based on the results of the study, recommendations from GAO, the General Records Schedules issued by GSA, and the retention plan prepared with the assistance of NARS, the DCAA Records Control Schedules are printed as Appendix B to this Chapter. These schedules supersede all previous records disposition schedules used in DCAA.

C. Purpose

The DCAA Records Control Schedules are mandatory and provide for: (i) the preservation of records which are of long-term or permanent value; (ii) the prompt disposal of records which do not warrant further retention; and (iii) the retirement of records to Federal Records Centers which are no longer needed in current business but are not eligible for immediate destruction.

II. THE DCAA FILES SYSTEM

The DCAA Files System is designed to provide a system for identifying and organizing records for filing, for reference, and for their eventual disposition on an orderly and systematic basis. It shall be used for both classified and unclassified documents. The control and accountability of classified documents shall be as prescribed by the cognizant security control officer; however, authorities contained herein to destroy files do apply to classified documents.

*Note: This copy contains  
several annotations where DCAA  
Schedules conform with General Records Schedules.*

## A. Concept

The DCAA Files System is a modified functional filing system. The subject categories chosen for filing titles or guides reflect the Agency's purpose, mission, programs, projects, or activities - commonly expressed as functions - but the filing titles and guides do reflect subject matter. A document may be filed according to the function it relates and not necessarily according to the subject of the document. Such a grouping of files permits easy additions, deletions, or modifications to the system; permits functions to be transferred from one office to another with only minor modifications in the central files master index and the files station directory; and precludes loss by misfiling of documents which may occur from the sharing of responsibility for an action by several offices. Briefly, this concept is that functions represent the most significant work areas within the Agency regardless of the office performing the work.

## B. Organization

1. The system is organized into six primary functional areas, as follow:

<u>Number</u>	<u>Primary Function</u>
100	Administration
200	Planning and Review
300	Personnel Administration
400	Financial Management
500	Information Systems and Services
600	(Reserved)
700	Audit Management and Services

2. File numbers consist of a minimum of four digits which represent a progressive subdivision of the primary function. For example:

<u>400</u>	Financial Management (Primary Function)
<u>20</u>	Accounting (Secondary Function)
<u>2</u>	Allotments (Subfunction)
<u>.5</u>	Disbursement Vouchers (Subject Files)

Thus file number 422.5 contains disbursement vouchers. Certain files have been further subdivided for ease of filing and reference as well as to separate categories of records which have different disposition standards within a file series. (See Subsection C, following.)

3. Additional four-digit file numbers may not be added locally. Requests for additional four-digit file series numbers will be submitted to the Records Administrator, DCAA, for approval.

#### C. Subdivision of Subject Files

Documents filed under a single four-digit file number will be subdivided as necessary to facilitate filing and reference. When, due to the general nature of the function represented by the file number or when the volume of papers under a file number is or is expected to be in excess of one folder, the material should be subdivided under whatever means will best serve reference requirements. Subdivisions may well be made within one folder, particularly in low activity subject areas, to conserve space and supply costs.

1. File Series Number Suffixes. A numerical or alphabetical suffix may be added to four-digit file numbers for ready identification of subdivisions within the series. Many files series in Appendix 5-B have prescribed suffixes for ease of filing and reference as well as to separate categories of records which have different disposition standards within a file series.
2. Methods for Files Subdivision. One of the basic sequence methods for files subdivision specified below should be selected.
  - a. Subject Arrangement. This term describes the arrangement of files identified by digits following the decimal in the four-digit DCAA Files System Numbers. Such files may also need to be further divided by sub-subjects. This subdivision arrangement is most frequently used in "general" files.
  - b. Numerical Arrangement. This system is used to subdivide records that are normally identified and referred to by number such as requisitions, contracts, assignment numbers, etc. Other records, such as accounting documents, are often arranged by allotment numbers, voucher numbers, etc.

- c. Chronological Arrangement. This system is used to arrange documents in date sequence when the date is the primary means of reference. It is the most useful method for keeping documents in small manageable groups, usually by year, month, and day. Chronological arrangement is frequently used in conjunction with other systems of subdivision. Reading and suspense files are examples of records which are generally arranged by date.
- d. Geographical Arrangement. This arrangement is by geographical location such as area, country, state, county, etc. It is used when geographical location is of primary importance in referring to records. Usually, the file is arranged in alphabetical sequence first by the name of the main geographical division such as state, then by the next most important subdivision required for reference purposes such as counties and cities.
- e. Organizational Arrangement. This file arrangement is used when the grouping of documents by the name of the organization is of primary importance in referring to the records. Organizational arrangement is fundamentally an alphabetical and/or numerical arrangement of organizations as they relate to each other. For instance, in Headquarters many files are subdivided by Regional Headquarters in alphabetical order.
- f. Alphabetical Arrangement. This arrangement is used to file documents by names of persons, companies, agencies, etc., in alphabetical order. It is used when the name is of primary importance in referring to the records, as in the case of Official Personnel Folders.

#### D. Mandatory Use of DCAA Files System - Series Numbers

As a minimum, all file folders will contain the four-digit file series number prescribed in Appendix 5-B.

### III. SELECTING FILE NUMBERS

- A. General. All offices are reminded that the DCAA Files System is intended to preserve and protect those records created by DCAA offices, the Official Record Copy (ORC).
  - 1. An ORC may have attached as backup a document created by another office or agency, but this is not always the case; e.g., contracts are not retained as backup to contract audit

reports. Generally, if a backup document is clearly identified in the ORC, readily available elsewhere, and very large, it need not be retained with the ORC.

2. Documents received that serve only for future reference shall be filed only in reference files and not under functional file series numbers.
3. Documents received that require no action on the part of the office and which will not serve as future reference documents shall not be retained and filed under functional file series numbers.

#### B. Who and When

1. Creating Offices. The creating office is responsible for selecting the file number, based on the function supported, when the record is created.
  - a. On letterhead correspondence, the file number shall be included as part of the "In Reply Refer To" section:
 

CMA 500.1 (HQ)    1-CP 300.1 (Reg. HQ)    4.11/763.410 (FAO)

This is particularly valuable to the writer upon receipt of a response to the correspondence, because the file is identified in the reference section of the response:

"In reply to 4.11/763.410 of 5 May 1974. . . ."
  - b. The file number shall be shown on all file copies as well as the original of such correspondence. This is particularly valuable in reading and chronological files, which may be used as an index to the office's files system.
2. Recipients. Recipients are not required to file a document under the number assigned by the creating office; however, in many instances, such will be the case. The recipient must file the document under the file series number for the function supported. Documents received by an office will be filed based on the criteria set forth in Subsection A, above, and Subsection C, below.

#### C. How

1. Types of Files in DCAA. Records created and maintained by DCAA offices are of three types:

- a. Office Housekeeping Files. These records accumulate from operations performed in "running the office;" they do not document the mission of the office. Series numbers 100.1, 100.2, and 371.2 are examples of such files.
  - b. Common Mission Files. Certain files accumulate in the performance of secondary functions and subfunctions that are common to all offices. Series numbers relating to recurring reports and information requirements and many of the series contained in the 200 primary function are common mission files.
  - c. Mission Files. These files consist of records which document actions and processes taken in performing the mission for which the office exists. The mission of an office may be determined by a review of the DCAA Organization Manual. These files are generally identified by a secondary function file series number.
2. In selecting file numbers, it is important to keep in mind the type of record, as described in 1, above; the functional approach discussed in Section II.A, preceding; and to think in terms of the significance of the paper in connection with the secondary functions and subfunctions. While applicability to a specific organizational level or office of DCAA has been designated when possible, the organizational structure and the dispersion of DCAA Field Audit Offices preclude such designation for all files series.
  3. So that the System will provide basic file numbers for all categories of documents, the first file number in most primary and secondary functions is a "general" file. Such numbers are to be used ONLY when there is no other file number within the group appropriate for filing of the paper. Care must be used in filing papers in "general" files and such files shall be frequently reviewed for improper filing procedures.

#### IV. FILES OUTLINES

- A. A files outline (Appendix 5-A) has been prepared as an aid to finding applicable file numbers. After finding the appropriate four-digit number, the descriptive matter in the text (Appendix 5-B) must be consulted to affirm that the proper subgroup has been found and to select the proper number for the paper to be filed.
- B. Most offices will need to use only a relatively few of the file numbers contained in the DCAA Files System; however, all offices



will probably require many files listed in the 100, 200, and 500 series. For purposes of day-to-day files operating purposes, offices will find it helpful to develop and keep current a file plan. Such a plan should show the file number, file title, and a brief description of each file required by the office. In addition, when appropriate, information as to the specific subdivisions or subtitles in use or the method of subdivision should be included in such lists. Do not set up guides and folders for categories until the need is indicated.

V. DISPOSITION STANDARDS

Disposition standards listed in Appendix 5-B are ultimate disposal standards based on the value of the records. Instructions for cutoff and retirement of records are contained in Chapter 4. Supplemental instructions for Field Audit Offices are also contained in Appendix 5-B, 760 series.

## APPENDIX 5 - A

## OUTLINE OF DCAA FILES SYSTEM

## 100 ADMINISTRATION

## 100 OFFICE ADMINISTRATION

- 100.1 Office Internal Management
- 100.2 Office Reference

## 110 FACILITIES AND SPACE ADMINISTRATION

- 110.1 General
- 110.2 Policies and Procedures
- 110.3 Directory of DCAA Offices
- 110.4 Space Assignments
- 110.5 Recurring Reports and Information Requirements
- 110.6 Building Management
- 110.7 Family Housing
- 110.8 Parking Permits and Vehicle Registration
- 110.9 Temporary Passes and Permits for Visitors and Vehicles
- 110.10 Reference Files

## 120 SUPPLY AND PROPERTY ADMINISTRATION

- 120.1 General
- 120.2 Policies and Procedures
- 120.3 Requisitioning Case Files
- 120.4 Property Officer Designations
- 120.5 Property Inventory Records
- 120.6 Property Adjustment Approvals
- 120.7 Excess Personal Property
- 120.8 Property Pass Files
- 120.9 Recurring Reports and Information Requirements
- 120.10 Reference Files

## 130 SAFETY PROGRAM

- 130.1 General
- 130.2 Policies and Procedures
- 130.3 Recurring Reports and Information Requirements
- 130.4 Individual Accident Case Files
- 130.5 Reference Files

## 140 ENVIRONMENT AND ENERGY CONSERVATION

- 140.1 General
- 140.2 Policies and Procedures
- 140.3 Recurring Reports and Information Requirements
- 140.4 Individual Project Case Files
- 140.5 Reference Files

## 150 SECURITY AND INTELLIGENCE

- 150.1 General
- 150.2 Policies and Procedures
- 150.3 Designation of Security Control Officers
- 150.4 Recurring Reports and Information Requirements
- 150.5 Defense Investigative Program
- 150.6 Reference Files

## 151 INFORMATION SECURITY

- 151.1 General
- 151.2 Regrading and Declassification
- 151.3 TOP SECRET Controls
- 151.4 TOP SECRET Accountability
- 151.5 SECRET and CONFIDENTIAL Accountability
- 151.6 Classified Document Inventory
- 151.7 Classified Titles Index
- 151.8 Internal Classified Document Receipt
- 151.9 Classified Document Container Records
- 151.10 Inspections
- 151.11 Training and Orientation
- 151.12 Administrative Violations
- 151.13 Major Violations
- 151.14 Foreign Visitor Records
- 151.15 Reference

## 152 PERSONNEL SECURITY

- 152.1 General
- 152.2 Personnel Security Case Files
- 152.3 Case Resumes
- 152.4 Clearance Request Files
- 152.5 Clearance Certification
- 152.6 Security Accreditations
- 152.7 Authorized Couriers

- 152.8 Notifications of Security Clearance Status
- 152.9 Special Access Security Clearance
- 152.10 Notifications of Visits
- 152.11 Briefings
- 152.12 Debriefings
- 152.13 Investigation Cross-Service Agreements
- 152.14 Security Status Master List
- 152.15 Investigation Control
- 152.16 Special Access Security Programs
- 152.17 Central Clearance Group
- 152.18 Reference Files

### 153 PHYSICAL SECURITY

- 153.1 General
- 153.2 DCAA Facility Security Data
- 153.3 Key Control Records
- 153.4 Lost and Found Files
- 153.5 Intelligence Summaries
- 153.6 Reference Files

### 160 TRAVEL AND TRANSPORTATION

- 160.1 General
- 160.2 Policies and Procedures
- 160.3 Transportation Officers/Agents
- 160.4 Recurring Reports and Information Requirements
- 160.5 Travel Orders
- 160.6 Transportation Requests
- 160.7 Transportation Request Register
- 160.8 Local Transportation Authorization
- 160.9 Bus Passes
- 160.10 Administrative-Use Motor Vehicles
- 160.11 Reference Files

### 200 PLANNING AND REVIEW

#### 205 PLANNING AND REVIEW

- 205.1 General
- 205.2 DCAA Advisory Council
- 205.3 DCAA Annual Report
- 205.4 DCAA Executive Conferences
- 205.5 Annual Report of the Secretary of Defense
- 205.6 Regional and FAO Conferences

- 205.7 Staff Meetings
- 205.8 Other Conferences and Meetings
- 205.9 Reference Files

## 210 PREPAREDNESS PLANNING

- 210.1 General
- 210.2 Emergency
- 210.3 Tests and Exercises
- 210.4 Fire Evacuation Plans
- 210.5 Bomb Threat Plans
- 210.6 Serious Incident Reports
- 210.7 Reference Files

## 220 REVIEW AND ANALYSIS

- 220.1 General
- 220.2 Policies and Procedures
- 220.3 General Purpose Surveys
- 220.4 Special Studies and Analyses
- 220.5 Regional Headquarters Visits to FAO's
- 220.6 Functional Surveys and Reviews
- 220.7 Scheduling
- 220.8 Reference Files

## 225 EXTERNAL INSPECTIONS AND INVESTIGATIONS

- 225.1 Congressional Investigations and Hearings
- 225.2 General Accounting Office Investigations and Audits
- 225.3 Office of Secretary of Defense Inspections
- 225.4 Inspector General
- 225.5 Reference Files

## 230 ECONOMIC ANALYSIS

- 230.1 General
- 230.2 Policies and Procedures
- 230.3 Recurring Reports and Information Requirements
- 230.4 Project Files

## 240 LEGAL MATTERS

- 240.1 General
- 240.2 Statements of Employment and Financial Interests
- 240.3 Legal Opinions

- 240.4 Recurring Reports and Information Requirements
- 240.5 Reference Files

## 250 INTERAGENCY AND INTERNATIONAL LIAISON

- 250.1 General
- 250.2 Policies and Procedures
- 250.3 Recurring Reports and Information Requirements
- 250.4 Reference Files

## 260 LEGISLATIVE AND CONGRESSIONAL

- 260.1 General
- 260.2 Policies and Procedures
- 260.3 Legislation
- 260.4 White House Correspondence
- 260.5 Committee Correspondence
- 260.6 Congressional Correspondence
- 260.7 Reference Files

## 270 ORGANIZATION AND FUNCTIONS

- 270.1 Defense Contract Audit Agency
- 270.2 Headquarters, DCAA
- 270.3 Regional Headquarters
- 270.4 Field Audit Offices
- 270.5 Reference Files

## 275 COMMITTEE MANAGEMENT

- 275.1 General
- 275.2 Policies and Procedures
- 275.3 Case Files
- 275.4 Recurring Reports and Information Requirements
- 275.5 Reference Files

## 280 MANAGEMENT IMPROVEMENT

- 280.1 General
- 280.2 Policies and Procedures
- 280.3 Management Surveys
- 280.4 Project Files
- 280.5 Recurring Reports and Information Requirements
- 280.6 Reference Files

## 290 HISTORICAL FILES

- 290.1 DCAA Histories
- 290.2 Planning Group Documents
- 290.3 Activity Histories
- 290.4 DCAA Chronological File
- 290.5 Regional Manager's Chronological File
- 290.6 Principal Staff Element Chronological File
- 290.7 FAO Chronological/Reading Files
- 290.8 Reading Files
- 290.9 Executive Staff Files
- 290.10 Historical Background and Reference Materials

## 300 PERSONNEL ADMINISTRATION

## 301 PERSONNEL ADMINISTRATION

- 301.1 General
- 301.2 Policies and Procedures
- 301.3 Designation of Civilian Personnel Officer
- 301.4 Servicing Agreements
- 301.5 Recurring Reports and Information Requirements
- 301.6 Reference Files

## 306 POSITION CLASSIFICATION AND PAY

- 306.1 General
- 306.2 Classification Standards
- 306.3 Standards Development
- 306.4 Position Descriptions (Master File)
- 306.5 Position Descriptions (Number Log)
- 306.6 Position Descriptions (Extra Copies)
- 306.7 Position Descriptions (Organization File)
- 306.8 Position Surveys
- 306.9 Wage Board Administration
- 306.10 Special Salary Rates
- 306.11 Salary Schedules
- 306.12 Reference Files

## 311 RECRUITING AND HIRING

- 311.1 General
- 311.2 Civil Service Certificates
- 311.3 Applicant Supply Files
- 311.4 Applications
- 311.5 Job Opportunity Announcements

- 311.6 Paid Advertising
- 311.7 Priority Placement (Stopper) Lists
- 311.8 Overseas Returnee Lists
- 311.9 Student Trainee Program
- 311.10 Recurring Reports and Information Requirements
- 311.11 Reference Files

### 315 CAREER MANAGEMENT

- 315.1 General
- 315.2 Career Programs
- 315.3 Qualification Standards
- 315.4 Applications for Promotion
- 315.5 Reemployment Rights
- 315.6 Reassignments, Job Rotation, and Details
- 315.7 Referral Lists
- 315.8 Promotion Register and Record
- 315.9 Executive Manpower Resources Board Activities
- 315.10 Executive Development Program
- 315.11 Reference Files

### 321 TRAINING

- 321.1 General
- 321.2 Training Plans
- 321.3 Individual Record of Training
- 321.4 Recurring Reports and Information Requirements

### 322 LOCAL TRAINING

- 322.1 Component Administered Auditor Training
- 322.2 Component Administered Non-Auditor Training
- 322.3 Component Administered Course Evaluations
- 322.4 Defense Contract Audit Institute Management and Supervision
- 322.5 DCAI Courses
- 322.6 Course Development, Background, and Evaluation
- 322.7 Students and Instructors
- 322.8 Non-DCAA Participation
- 322.9 Reference Files

### 323 NON-DCAA TRAINING

- 323.1 General
- 323.2 Other Government Training
- 323.3 Non-Government Training
- 323.4 Reference Files



330 PROFESSIONAL ACTIVITIES

- 330.1 General
- 330.2 CPA Accreditation
- 330.3 CPA Preparation
- 330.4 Professional Activity Case Files
- 330.5 Reports on Professional Activities
- 330.6 Reference Files

341 INCENTIVE AND ACCOMPLISHMENT AWARDS

- 341.1 General
- 341.2 Incentive Awards Reports
- 341.3 Register of Honorary and Monetary Awards (Except Suggestions)
- 341.4 Incentive Awards Boards
- 341.5 Nominations for Awards
- 341.6 Letters of Commendation and Appreciation
- 341.7 Civilian Service Emblem Control Files
- 341.8 Employee Suggestion Register
- 341.9 Employee Suggestions
- 341.10 Reference Files

346 EQUAL EMPLOYMENT OPPORTUNITY

- 346.1 General
- 346.2 Affirmative Action Plans
- 346.3 Annual Report
- 346.4 Special Reports on EEO
- 346.5 Reference Files

347 LABOR-MANAGEMENT RELATIONS

- 347.1 General
- 347.2 Case Files
- 347.3 Labor Relations
- 347.4 Reference Files

349 STANDARDS OF CONDUCT

- 349.1 General
- 349.2 Operations
- 349.3 Reference Files

350 ADVERSE PERSONNEL ACTIONS

- 350.1 General

- 350.2 Competitive Levels
- 350.3 Retention Registers
- 350.4 Reduction in Force
- 350.5 Reference Files

### 358 EMPLOYEE COMPLAINTS, GRIEVANCES, AND APPEALS

- 358.1 General
- 358.2 EEO Complaints
- 358.3 Grievances and Appeals
- 358.4 Reference Files

### 361 EMPLOYEE BENEFITS

- 361.1 General
- 361.2 Benefit Files
- 361.3 Reference Files

### 371 PERSONNEL OPERATIONS

- 371.1 General
- 371.2 Supervisor's Personnel Records
- 371.3 Personnel Identification Media
- 371.4 Personnel Identification Registers
- 371.5 Locator Records
- 371.6 Personnel Authorizations
- 371.7 Service Record File
- 371.8 Inactive Service Records
- 371.9 Departure Clearances
- 371.10 Group Action Requests
- 371.11 Chronological Journal
- 371.12 Attendance and Leave
- 371.13 Official Personnel Folders
- 371.14 Reference Files

### 381 PROGRAM PLANNING AND EVALUATION

- 381.1 General
- 381.2 Program Planning and Evaluation Reports
- 381.3 Civil Service Commission Inspections
- 381.4 DCAA Surveys of Civilian Personnel Administration
- 381.5 Personnel Conferences
- 381.6 Reference Files

### 387 MILITARY PERSONNEL

- 387.1 General

- 387.2 Ready Reserve
- 387.3 Reference Files
- 388 DCAA SAVINGS BONDS PROGRAM
  - 388.1 General
  - 388.2 Savings Bonds Reports
  - 388.3 Reference Files
- 399 MORALE, WELFARE, AND RECREATION
  - 399.1 Morale, Welfare, and Recreation
- 400 FINANCIAL MANAGEMENT
  - 400 FINANCIAL MANAGEMENT
    - 400.1 General
    - 400.2 Policies and Procedures
    - 400.3 Reference Files
  - 410 BUDGET
    - 410.1 Budget Execution
    - 410.2 Budget Formulation and Presentation
    - 410.3 Manpower Requirements and Utilization Review
    - 410.4 Recurring Reports and Information Requirements
    - 410.5 Cross-Service Support Agreements
    - 410.6 Reimbursable Audits
    - 410.7 Budget Program Data
    - 410.8 General
    - 410.9 Reference Files
  - 420 ACCOUNTING
    - 420.1 General
    - 420.2 Policies and Procedures
    - 420.3 Accounting Correspondence
    - 420.4 Imprest Funds
    - 420.5 Recurring Reports and Information Requirements
    - 420.6 Transactions for Defense Agencies Disbursement Reports
  - 421 GENERAL ACCOUNTS LEDGERS
    - 421.1 Fund Authorizations from OSD
    - 421.2 General Ledgers

## 422 ALLOTMENT RECORDS

- 422.1 Cash Disbursement Ledger
- 422.2 Obligation Control Ledger
- 422.3 Allotment Working Papers
- 422.4 Fund Authorizations from HQ, DCAA
- 422.5 Disbursement Vouchers

## 423 POSTING AND CONTROL MEDIA

- 423.1 Accounts Receivable Bills, Subsidiary, and Collection Ledgers
- 423.2 Accounts Receivable Collection Vouchers
- 423.3 Operating Budget Control and Status Ledgers
- 423.4 Journal Vouchers (SF 1017G)
- 423.5 Cancelled Obligor Documents

## 430 MANPOWER

- 430.1 General
- 430.2 Policies and Procedures
- 430.3 Personnel Authorizations
- 430.4 Personnel Control
- 430.5 Personnel Strength Reports
- 430.6 Manpower Surveys
- 430.7 Reference Files

## 440 PAYROLL LIAISON

- 440.1 General
- 440.2 Time and Attendance Reports

## 500 INFORMATION SYSTEMS AND SERVICES

## 501 PUBLIC AFFAIRS

- 501.1 General
- 501.2 Policies and Procedures
- 501.3 Press Releases
- 501.4 Published Articles
- 501.5 Speeches
- 501.6 Community Relations
- 501.7 Public Ceremonies
- 501.8 Charitable Programs
- 501.9 Blood Donor Program

- 501.10 Non-Government Briefings
- 501.11 Recurring Reports and Information Requirements
- 501.12 Reference Files

502 AVAILABILITY TO THE PUBLIC OF DCAA INFORMATION AND CONTROL OF  
"FOR OFFICIAL USE ONLY" INFORMATION

- 502.1 General
- 502.2 Policies and Procedures
- 502.3 User Charges
- 502.4 Requests Allowed
- 502.5 Request Denied
- 502.6 Appeals to the Director, DCAA
- 502.7 Recurring Reports and Information Requirements
- 502.8 Reference Files

510 FILES MAINTENANCE AND DISPOSITION

- 510.1 General
- 510.2 Policies and Procedures
- 510.3 Records Control Schedules Approval
- 510.4 Records Transfer and Retirement Control
- 510.5 Files Equipment and Supplies
- 510.6 Recurring Reports and Information Requirements
- 510.7 Reference Files

520 TELECOMMUNICATIONS

- 520.1 General
- 520.2 Policies and Procedures
- 520.3 Teletype and Teletypewriter
- 520.4 Telephones and Interphones
- 520.5 Telephone Toll Call Records
- 520.6 Message Logs and Registers
- 520.7 Recurring Reports and Information Requirements
- 520.8 Reference Files

530 OFFICE MACHINES

- 530.1 General
- 530.2 Policies and Procedures
- 530.3 Office Machine Evaluation Case Files
- 530.4 Recurring Reports and Information Requirements
- 530.5 Reference Files

## 540 PUBLICATIONS

- 540.1 General
- 540.2 Policies and Procedures
- 540.3 Official Publications Records Set
- 540.4 Publications Coordination Files
- 540.5 Recurring Reports and Information Requirements
- 540.6 Implementation of DoD Issuances (HQ, DCAA, ONLY)
- 540.7 Reference Files

## 541 PERIODICALS

- 541.1 General
- 541.2 Policies and Procedures
- 541.3 Periodicals Record Set
- 541.4 Periodical Background Material
- 541.5 Recurring Reports and Information Requirements
- 541.6 Reference Files

## 545 PRINTING AND DISTRIBUTION

- 545.1 General
- 545.2 Policies and Procedures
- 545.3 Manuscripts and Art Work
- 545.4 Accountable Publications Receipt and Issue Records
- 545.5 Accountable Forms Receipt and Issue Records
- 545.6 Publications and Distribution Files
- 545.7 Publications and Blank Forms Stock Records
- 545.8 Publications and Blank Forms Supply Files
- 545.9 Printing and Duplicating Requisitions
- 545.10 Recurring Reports and Information Requirements
- 545.11 Reference Files

## 550 AUDIO-VISUAL AIDS

- 550.1 General
- 550.2 Policies and Procedures
- 550.3 Audio-Visual Aids Case Files
- 550.4 Recurring Reports and Information Requirements
- 550.5 Technical Material Reference
- 550.6 Reference Files

## 560 FORMS

- 560.1 General
- 560.2 Policies and Procedures

- 560.3 Recurring Reports and Information Requirements
- 560.4 Forms Management Case Files
- 560.5 Non-DCAA Forms Case Files
- 560.6 Forms Register
- 560.7 Forms Functional File
- 560.8 Reference Files

## 565 RECURRING REPORTS AND INFORMATION REQUIREMENTS

- 565.1 General
- 565.2 Policies and Procedures
- 565.3 Reports and Information Requirement Case Files
- 565.4 Reports Control Symbol Register
- 565.5 Recurring Reports and Information Requirements
- 565.6 Reference Files

## 570 CORRESPONDENCE

- 570.1 General
- 570.2 Policies and Procedures
- 570.3 Recurring Reports and Information Requirements
- 570.4 Reference Files

## 575 MAIL

- 575.1 General
- 575.2 Policies and Procedures
- 575.3 Suspense Files
- 575.4 Postal Directory
- 575.5 Accountable Mail Control
- 575.6 Routine Mail Control
- 575.7 Recurring Reports and Information Requirements
- 575.8 Lost and Rifled Mail
- 575.9 Reference Files

## 590 AUTOMATED DATA PROCESSING (ADP) MANAGEMENT AND SERVICES

- 590.1 General
- 590.2 Policies and Procedures
- 590.3 ADP Planning and Program Management
- 590.4 ADP Systems Development and Evaluation
- 590.5 Recurring Reports and Information Requirements
- 590.6 Data Standardization
- 590.7 ADP Systems Implementation
- 590.8 Management Information System (MIS) Projects

700 AUDIT MANAGEMENT

700 AUDIT MANAGEMENT

- 700.1 General
- 700.2 Recurring Reports
- 700.3 One-Time Information Requirements
- 700.4 Review/Coordination on Non-DCAA Publications
- 700.5 Post Review of Technical Instructions
- 700.6 Seminars and Conferences
- 700.7 Indoctrination and Training
- 700.8 Committee Representation
- 700.9 Research Projects and Special Studies
- 700.10 Reference Files

701 POLICIES AND GUIDANCE

- 701.1 General
- 701.2 DCAA Policy File
- 701.3 Policy Formulation
- 701.4 Audit Guidance
- 701.5 Technical Data Bank
- 701.6 Testimony Before Judicial or Quasi-Judicial Bodies

702 SPECIAL PROJECTS

- 702.1 General
- 702.2 Advanced Audit Techniques
- 702.3 Special Audits
- 702.4 Cost Accounting Standards

703 OPERATIONS MANAGEMENT AND SUPERVISION

- 703.1 General
- 703.2 Operations Evaluation
- 703.3 Operations Management
- 703.4 Technical Audit Programs

704 STANDING PART 2, SECTION XV, ASPR SUBCOMMITTEE

760-763 AUDIT SERVICES

760 CONTRACT AUDIT ADMINISTRATION

- 760.1 General
- 760.2 Scheduling



- 760.3 Audit Guidance Memorandums
- 760.4 Recurring Reports and Information Requirements
- 760.5 Reference Files

761 THE PERMANENT FILE

- 761.1 Contractor Correspondence
- 761.2 Contractor Background

762 CONTRACT AUDIT CASE FILES

- 762.01 Contract Correspondence
- 762.02 Contracts
- 762.03 Contract Brief Card
- 762.04 Public Vouchers
- 762.1 Incurred Costs
- 762.2 Forward Pricing
- 762.4 Other Audits and Reviews

763 OTHER AUDIT SERVICES

- 763.3 Procurement Liaison
- 763.410 CAC Conferences
- 763.411 CAC Case Files
- 763.43 GAO Activity
- 763.435 Summary Reports
- 763.445 CAS Special Requests
- 763.48 Special Projects and Studies
- 763.49 Negotiation Conferences
- 763.499 Other Audit Services

## APPENDIX 5-B

## FILES SERIES IDENTIFICATION AND DISPOSITION STANDARDS

## 100 - ADMINISTRATION

This primary functional series relates to Office Administration (100), Facilities and Space Administration (110), Supply and Property Administration (120), Safety Program (130), Environment and Energy Conservation (140), Security and Intelligence (150), and Travel and Transportation (160).

100 OFFICE ADMINISTRATION. Records accumulated in individual offices relating to the internal management and administration of the office, EXCLUDING mission files which will be filed under the appropriate primary or secondary function.

100.1 Office Internal Management. Records relating to the internal management of the office including responsibilities of individuals and subelements of the office; standard operating procedures; and similar office administration records.

ALL OFFICES: Destroy when superseded, obsolete, or upon discontinuance of the office.

100.2 Office Reference. Files which are comprised of extra copies of papers, publications, and other records which are maintained for reference rather than for documenting the official mission assigned to the office.

ALL OFFICES: Destroy when superseded, obsolete, or upon discontinuance of the office.

110 FACILITIES AND SPACE ADMINISTRATION. Relates to acquisition, allocation, and utilization of space, including related correspondence and reports; requests for building and facility services; compilation of the Directory of DCAA Offices; and files reflecting the activities of the office responsible for liaison between DCAA and other agencies who provide real property space through cross-service support agreements.

110.1 General. Documents relating to facilities and space administration which, due to their general nature, cannot be logically filed elsewhere in the 110 series. (11-1)

ALL OFFICES: Destroy after 2 years.

- 110.2 Policies and Procedures. Documents relating to the development, preparation, issuance, and interpretation of directives or regulatory instructions on facilities and space, including copies of interim policy and procedures statements issued prior to publication in official DCAA numbered policy publications.
- ISSUING OFFICE: Upon supersession or obsolescence, place in inactive file. Destroy after 10 years.
- OTHER OFFICES: Destroy when superseded or cancelled.
- 110.3 Directory of DCAA Offices. Correspondence, forms, and other records relating to the compilation of the Directory of DCAA Offices. (See 545.6 series for distribution lists.) (// 3)
- ALL OFFICES: Destroy 2 months after issuance of the Directory or Change thereto.
- 110.4 Space Assignments. Copies of documents relating to space assignments, agreements, building plans, requests for building and equipment alterations and maintenance, and related records accumulated by offices whose mission is space planning, assignment, and adjustment. (// 2)
- ALL OFFICES: Destroy 2 years after termination of assignment.
- 110.5 Recurring Reports and Information Requirements. Recurring reports and one-time information requirements relating to facilities and space use and management.
- ALL OFFICES: Destroy after 3 years.
- 110.6 Building Management. Documents relating to building management matters accumulated when a DCAA office has such responsibility, EXCLUDING physical security - see 153.
- ALL OFFICES: Destroy 2 years after termination of responsibility.
- 110.7 Family Housing. Documents relating to the utilization of military family housing by DCAA civilian employees.
- ALL OFFICES: Destroy when superseded, obsolete, or after 2 years, whichever is earlier.

- 110.8 Parking Permits and Vehicle Registration. Documents relating to the allotment of parking spaces and the registering of privately owned vehicles for employees of DCAA.

ALL OFFICES: Destroy when superseded, obsolete, or 1 year after revocation, whichever is earlier.

- 110.9 Temporary Passes and Permits for Visitors and Vehicles. Documents which reflect the request for, issuance of, and use of visitor passes and vehicle permits to gain access to and exit from Government facilities on a one-time basis, including visitor registers.

ALL OFFICES: Destroy after 2 years.

- 110.10 Reference Files. Files relating to the general field of facilities and space consisting of extra copies of documents which duplicate the record copy filed elsewhere; rough drafts, notes, work papers, and other material being held for reference.

ALL OFFICES: Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier.

- 120 SUPPLY AND PROPERTY ADMINISTRATION. Relates to the requisitioning of supplies, equipment, and services; and to personal property administration matters, such as accountability, inventory, storage, maintenance, and disposal, EXCLUDING financial documents - see 400.

- 120.1 General. Documents relating to supply and property administration which, due to their general nature, cannot be logically filed elsewhere in the 120 series. (3-3)(4-4)

ALL OFFICES: Destroy after 2 years.

- 120.2 Policies and Procedures. Documents relating to the development, preparation, issuance, and interpretation of directives or regulatory instructions on supply and property, including copies of interim policy and procedures statements issued prior to publication in official DCAA numbered policy publications.

ISSUING OFFICE: Upon supersession or obsolescence, place in inactive file. Destroy after 10 years.

OTHER OFFICES: Destroy when superseded or cancelled.

- 120.3 Requisitioning Case Files. Documents relating to obtaining supplies, equipment, and services accumulated in offices serving as liaison between DCAA and the purchasing and contracting officers of agencies providing such service through cross-service support agreements.

LIAISON OFFICES: Destroy after 3 years.

- 120.4 Property Officer Designations. Documents reflecting designation of property officers, including letters of appointment and termination.

ALL OFFICES: Destroy 2 years after termination of appointment.

- 120.5 Property Inventory Records. Files and records maintained which reflect the receipt, inventory, and disposition of personal property.

PROPERTY OFFICERS: Destroy 1 year after all adjustment vouchers have been prepared and have reached final approval and the next comparable inventory has been completed.

- 120.6 Property Adjustment Approvals. Documents reflecting the circumstances concerning the loss, unserviceability, or destruction of property and serving to determine pecuniary or other responsibility for the absence or condition of the articles, and the writing off of property accountability by reason of theft, loss, etc.

PROPERTY OFFICERS: Destroy after 3 years.

- 120.7 Excess Personal Property. Relates to reports of personal property which has been determined to be excess to the needs of a particular activity and to the release of excess or surplus personal property to a property disposal officer or by donation to authorized non-Government agencies. (4-5)

PROPERTY OFFICERS: Destroy after 3 years.

- 120.8 Property Pass Files. Documents authorizing the loan or removal of property and materials which are to be returned. (18-13)

PROPERTY OFFICERS: Destroy 3 months after property is returned.

- 120.9 Recurring Reports and Information Requirements. Recurring reports and one-time information requirements relating to supply and property matters.

ALL OFFICES: Destroy after 3 years.

- 120.10 Reference Files. Files relating to the general field of supply and property consisting of extra copies of documents which duplicate the record copy filed elsewhere; rough drafts, notes, work papers, and other material being held for reference.

ALL OFFICES: Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier.

- 130 SAFETY PROGRAM. Relates to the program to reduce the frequency and severity of accidental injuries to personnel on the premises of DCAA or while performing assignments incident to DCAA operations, and compensation for such injury.

- 130.1 General. Documents relating to the safety program which, due to their general nature, cannot be logically filed elsewhere in the 130 series.

ALL OFFICES: Destroy after 2 years.

- 130.2 Policies and Procedures. Documents relating to the development, preparation, issuance, and interpretation of directives or regulatory instructions on safety, including copies of interim policy and procedures statements issued prior to publication in official DCAA numbered policy publications.

ISSUING OFFICE: Upon supersession or obsolescence, place in inactive file. Destroy after 10 years.

OTHER OFFICES: Destroy when superseded or cancelled.

- 130.3 Recurring Reports and Information Requirements. Recurring reports and one-time information requirements relating to accidents and accident experience, including reports of accidents of motor vehicles, fire, and personal injury, EXCLUDING case files - see 130.4.

ALL OFFICES: Destroy after 3 years.

- 130.4 Individual Accident Case Files. Case files of reporting and reviewing offices consisting of reports and related papers regarding accidents incident to DCAA operations pertaining to injuries of individuals or accidents involving motor vehicles and other equipment and property damage.

ALL OFFICES: Destroy 10 years after all aspects of the case are closed.

- 130.5 Reference Files. Files relating to the general field of safety consisting of extra copies of documents which duplicate the record copy filed elsewhere; rough drafts, notes, work papers, and other material being held for reference.

ALL OFFICES: Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier.

- 140 ENVIRONMENT AND ENERGY CONSERVATION. Relates to functions performed by offices administering programs involving protection of the environment and the conservation of energy.

- 140.1 General. Documents relating to environment and energy which, due to their general nature, cannot be logically filed elsewhere in the 140 series.

ALL OFFICES: Destroy when superseded, obsolete, or no longer needed for reference, or after 2 years, whichever is earlier.

- 140.2 Policies and Procedures. Documents relating to the development, preparation, issuance, and interpretation of directives or regulatory instructions on environment and energy conservation matters, including copies of interim policy statements issued prior to publication in official DCAA numbered policy publications.

ISSUING OFFICE: Upon supersession or obsolescence, place in inactive file. Destroy after 10 years.

OTHER OFFICES: Destroy when superseded or cancelled.

- 140.3 Recurring Reports and Information Requirements. Recurring reports and one-time information requirements regarding DCAA's participation in environment and energy conservation programs.

ALL OFFICES: Destroy after 3 years.

- 140.4 Individual Project Case Files. Case files relating to specific programs and projects to protect the environment and conserve energy, such as car pool programs, paper conservation, and energy reduction programs.

ALL OFFICES: Destroy after 5 years.

- 140.5 Reference Files. Files relating to the general field of energy and conservation consisting of extra copies of documents which duplicate the record copy filed elsewhere; rough drafts, notes, work papers, and other material being held for reference.

ALL OFFICES: Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier.

- 150 SECURITY AND INTELLIGENCE. Records relating to security and intelligence matters including the safekeeping, control, and dissemination of classified information and other sensitive information, security classification management; personnel security investigation and clearance; special access programs; physical security; special personnel identification; visits of foreign nationals and related security and intelligence matters.

- 150.1 General. Documents relating to security and intelligence which, due to their general nature, cannot be logically filed elsewhere in the 150 series. (18-2)

ALL OFFICES: Destroy after 2 years.

- 150.2 Policies and Procedures. Documents relating to the development, preparation, issuance, and interpretation of directives or regulatory instructions on security and intelligence, including copies of interim policy and procedures statements issued prior to publication in official DCAA numbered policy publications.

ISSUING OFFICE: Upon supersession or obsolescence, place in inactive file. Destroy after 10 years.

OTHER OFFICES: Destroy when superseded or cancelled.

- 150.3 Designation of Security Control Officers. Documents relating to the designation or assignment of individuals as security control officers and custodians of classified documents.

SECURITY CONTROL OFFICERS: Destroy 2 years after termination of appointment.



- 150.4 Recurring Reports and Information Requirements. Recurring reports and one-time information requirements regarding security and intelligence matters.

SECURITY CONTROL OFFICERS: Destroy after 2 years.

- 150.5 Defense Investigative Program. Records relating to the development and administration of Agency-wide implementation of the Defense Investigative Program, including register of plans, programs, regulations, and related records pertaining to the areas included in the Defense Investigative Program, EXCLUDING records described in 150.2.

SECURITY OFFICER, DCAA: Destroy when superseded, obsolete, no longer needed for reference, or after 2 years, whichever is earlier.

- 150.6 Reference Files. Files relating to the general field of security and intelligence consisting of extra copies of documents which duplicate the record copy filed elsewhere; rough drafts, notes, work papers, and other material being held for reference.

ALL OFFICES: Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier.

- 151 INFORMATION SECURITY. Relates to the general administration of the security classification system and the measures required to safeguard security classified information.

- 151.1 General. Documents relating to information security which, due to their general nature, cannot be logically filed elsewhere in the 151 series.

ALL OFFICES: Destroy after 2 years.

- 151.2 Regrading and Declassification. Records relating to the administration of a security classification or grading system involving regrading or downgrading of documents, including correspondence on downgrading, requests for and notifications of regrading or declassification actions.

SECURITY CONTROL OFFICERS: Destroy after 3 years.

- 151.3 TOP SECRET Controls. Forms used to ensure positive control of TOP SECRET documents, showing security classification, date of the document, distribution data, intraoffice routing data, and names of persons handling the documents.

SECURITY CONTROL OFFICERS: Destroy 1 year after related document is downgraded, transferred, or destroyed.

- 151.4 TOP SECRET Accountability. Registers and forms maintained to reflect the receipt, dispatch, destruction, or other disposition of TOP SECRET documents received or generated by DCAA offices, including receipts used for the transfer of documents outside DCAA offices, and certificates reflecting the destruction of the documents.

SECURITY CONTROL OFFICERS: Destroy 5 years after the related document is downgraded, transferred, or destroyed.

- 151.5 SECRET and CONFIDENTIAL Accountability. Registers and forms maintained to reflect the receipt, dispatch, destruction, or other disposition of SECRET and CONFIDENTIAL documents received or generated by a DCAA office, including receipts used for the transfer of documents outside DCAA offices; and certificates reflecting the destruction of the documents.

SECURITY CONTROL OFFICERS: Destroy 3 years after the related document is downgraded, transferred, or destroyed.

- 151.6 Classified Document Inventory. Records reflecting inventories of all classified documents, including TOP SECRET.

SECURITY CONTROL OFFICERS: Destroy 1 year after completion of next inventory, provided all material has been accounted for at that time.

- 151.7 Classified Titles Index. A cross-reference listing of classified documents, the titles or subjects of which are classified, containing the classified document control number as a means of ready identification.

SECURITY CONTROL OFFICERS: Destroy listings when all classified titles or subjects of the documents listed thereon are declassified or when the documents are declassified, transferred or destroyed.

- 151.8 Internal Classified Document Receipt. Receipts used in making temporary loan of classified documents inside the DCAA office of custody. Such loans are normally of short duration and the borrowed documents are generally returned within the same workday.

SECURITY CONTROL OFFICERS: Destroy signed copy upon return of the document; duplicate, unsigned copy may be retained until no longer needed for reference.

- 151.9 Classified Document Container Records. Records of combinations and related information identifying security safes, cabinets, or other containers, including names, addresses, and other information of individuals having knowledge of combinations; and forms placed on safes used for recording the unlocking, locking, and checking of the container.

SECURITY CONTROL OFFICERS: Destroy upon change of combination or when the container is no longer utilized for storage of classified material, EXCEPT all forms will be retained until completion of any investigation of a security violation involving the container concerned.

- 151.10 Inspections. Documents reflecting scheduling, implementation, and reports of security inspections, including reports, checklists, correspondence regarding recommendations and corrective actions taken, and related documents.

SECURITY CONTROL OFFICERS: Destroy upon completion of next comparable inspection or upon discontinuance of the office inspected, whichever is earlier.

- 151.11 Training and Orientation. Records reflecting security training and orientation for Agency personnel, special security training for Security Control Officers, including schedules, rosters of attendance, and training materials.

SECURITY CONTROL OFFICERS: Destroy 2 years after completion of training, EXCEPT that training material may be destroyed when superseded, obsolete, or no longer needed for reference.

- 151.12 Administrative Violations. Case files relating to investigations of alleged security violations where no possibility of the compromise of classified information exists, EXCLUDING papers placed in Official Personnel Folders. Included are records created in determining the conditions surrounding the minor violation. (18-25)

SECURITY CONTROL OFFICERS: Destroy 2 years after completion of final corrective or disciplinary action.

- 151.13 Major Violations. Records relating to investigation and circumstances surrounding security violations involving loss or possible compromise of classified information of a sufficiently serious nature to be classified as felonies. Included are reports of preliminary inquiry; final report of investigation; appointment orders on investigating officers; all written notes, statements, photographs, recordings, and related exhibits; reports of action taken; and all related correspondence, EXCLUDING original records of disciplinary action filed in the Official Personnel Folder.

SECURITY OFFICER, DCAA: Destroy 10 years after all legal and disciplinary actions have been taken.

SECURITY CONTROL OFFICERS: Destroy duplicate files after 2 years.

- 151.14 Foreign Visitor Records. Records relating to visits of foreign nationals to DCAA activities, including requests and authorizations to visit or receive training, notifications of security clearances, itineraries, reports, and related documents.

SECURITY CONTROL OFFICERS: Destroy after 2 years.

- 151.15 Reference Files. Files relating to the general field of information security consisting of extra copies of documents which duplicate the record copy filed elsewhere; rough drafts, notes, work papers, and other material being held for reference.

ALL OFFICES: Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier.

- 152 PERSONNEL SECURITY. Relates to the administration of the personnel security program involving the clearance of DCAA personnel.

- 152.1 General. Records relating to personnel security which, due to their general nature, cannot be logically filed elsewhere in the 152 series. (18-22)

ALL OFFICES: Destroy after 2 years.

- 152.2 Personnel Security Case Files. Reports of investigation furnished by investigative agencies, case resumes, security evaluations, waiver of investigative requirements, clearance information, and similar documents relating to the initiation, processing, and completion of personnel security investigations and the issuance of security clearances. (18-24)

SECURITY OFFICER, DCAA: Upon separation of individual, return CSC reports of investigation in accordance with provisions of FPM 736; dispose of other investigative reports in accordance with instructions of investigating agency; destroy remaining documents after 2 years.

- 152.3 Case Resumes. Resumes of reports of investigation prepared by the Security Officer, DCAA which are furnished the Regional Manager for information and/or action.

REGIONAL SECURITY CONTROL OFFICER: Return all copies to Security Officer, DCAA upon separation or intra-Agency transfer.

SECURITY OFFICER, DCAA: Destroy or forward to gaining Region, as appropriate.

- 152.4 Clearance Request Files. Records accumulated as a result of requesting security approval for appointment of individuals and processing of requests for security investigation and clearance. Included are information copies of notices of proposed appointments, requests for security clearance, and related documents, EXCLUDING case resumes and certificates of clearance filed in 152.3 and 152.5.

SECURITY CONTROL OFFICERS: Destroy upon receipt of final clearance.

- 152.5 Clearance Certification. Copies of interim and final access and security clearance maintained by Agency security control officers as a means of attesting to the clearance of personnel under their cognizance.

SECURITY CONTROL OFFICERS: Destroy interim clearance upon receipt of final clearance; upon separation from Agency employment, destroy final clearance; upon intra-Agency transfer, forward regional and field office copies to gaining Regional Security Control Officer.

- 152.6 Security Accreditations. Records relating to the accreditation of Agency personnel to other agencies for access to security or intelligence information.

SECURITY OFFICER, DCAA: Destroy upon revocation of accreditation.

- 152.7 Authorized Couriers. Records relating to Agency employees authorized to act as couriers for the receipt and delivery of classified documents, including correspondence and notification to other agencies indicating authorization and clearance information, and related documents.

SECURITY CONTROL OFFICERS: Destroy upon revocation of authorization.

- 152.8 Notifications of Security Clearance Status. Notifications to Agency offices that do not receive certificates of security clearance that specific individuals have been granted security clearance as indicated.

ALL OFFICES: Destroy when superseded or upon transfer or separation of employee.

- 152.9 Special Access Security Clearance. Records which constitute authorization for employees to have access to special access information, including requests for access, approvals, rosters of personnel granted access, and related documents, EXCLUDING special access briefing and debriefing statements which are filed under 152.11 and 152.12.

SECURITY CONTROL OFFICERS: Cut off special access rosters at end of calendar year, update listing, transfer names to current year roster; hold 2 years, in current files, then destroy. Destroy special access clearance 2 years after debriefing.

- 152.10 Notifications of Visits. Copies of correspondence or forms indicating security clearance information on DCAA employees and notifications of visits by DCAA personnel to Defense contractors, Government agencies, and other organizations, either on a one-time or recurring basis.

SECURITY CONTROL OFFICERS: Destroy upon expiration of notification, EXCEPT that unexpired notifications will be updated annually, and retained in current files; destroy prior year notifications.

- 152.11 Briefings. Security acknowledgments and special access briefing statements and defensive security briefing certificates executed by individuals upon being granted security clearance, access to special access information, and prior to assignment or travel in foreign countries.

SECURITY CONTROL OFFICERS: Destroy 2 years after termination of employment.

- 152.12 Debriefings. Security termination statements and special access debriefing statements executed by employees.

SECURITY CONTROL OFFICERS: Upon execution of such statements, forward through Regional Security Control Officer to Security Officer, DCAA. No copies are to be retained other than those retained by the Security Officer, DCAA.

SECURITY OFFICER, DCAA: Destroy 2 years after completion of debriefing.

- 152.13 Investigation Cross-Service Agreements. Records reflecting liaison and agreements with investigative agencies for the conduct of personnel security investigations; retrieval and return of investigative material; and other related documents.

SECURITY OFFICER, DCAA: Destroy 3 years after termination of agreement.

- 152.14 Security Status Master List. Maintained as a master list of all Agency personnel cleared for access to classified information.

SECURITY OFFICER, DCAA: Destroy 2 years after termination of employee.

- 152.15 Investigation Control. Maintained as a means of controlling the processing of security investigations and issuance of security clearances.

SECURITY OFFICER, DCAA: Destroy after completion of final action.

- 152.16 Special Access Security Programs. Records relating to a variety of special access programs, including procedural instructions, investigative and clearance requirements prescribed by agencies responsible for such programs, and related documents, EXCLUDING records described in 152.9 and 152.12.

SECURITY CONTROL OFFICERS: Destroy when superseded, obsolete, or after 2 years, whichever is earlier.

- 152.17 Central Clearance Group. Records relating to the Central Clearance Group, including list of members, operating procedures, policies, register of cases referred, and related documents, EXCLUDING records described in 152.3.

SECURITY OFFICER, DCAA: Destroy when superseded, obsolete, or after 5 years, whichever is earlier.

- 152.18 Reference Files. Files relating to the general field of personnel security consisting of extra copies of documents which duplicate the record copy filed elsewhere; rough drafts, notes, work papers, and other material being held for reference.

ALL OFFICES: Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier.

153 PHYSICAL SECURITY. Relates to physical security measures designed to protect personnel, equipment, and facilities.

- 153.1 General. Documents relating to physical security which, due to their general nature, cannot be logically filed elsewhere in the 153 series.

ALL OFFICES: Destroy after 2 years.

- 153.2 DCAA Facility Security Data. Records accumulated which furnish information pertaining to office location, key security personnel, classified document holdings, classified document containers, and physical security measures provided at Federal buildings, contractor facilities, etc., where DCAA offices are located. Included are incident reports; after-action reports; duplicate copies of security inspections; reports of security violations; reports of security investigations; and related documents.

SECURITY CONTROL OFFICERS: Update annually. Destroy upon deactivation of office or relocation of office to other premises.



- 153.3 Key Control Records. Records relating to the issue and control of keys used in connection with the physical security of an office.

SECURITY CONTROL OFFICERS: Destroy 6 months after turn-in of key.

- 153.4 Lost and Found Files. Copies of reports, loss statements, receipts, and other papers relating to lost and found articles. (18-16 b)

ALL OFFICES: Destroy after 1 year.

- 153.5 Intelligence Summaries. Documents originated or compiled by other Government agencies and furnished to DCAA for information and guidance in operational planning or for emergency planning to protect personnel, property, and facilities.

SECURITY OFFICER, DCAA: Destroy when superseded, obsolete, or no longer needed for reference.

- 153.6 Reference Files. Files relating to the general field of physical security consisting of extra copies of documents which duplicate the record copy filed elsewhere; rough drafts, notes, work papers, and other material being held for reference.

ALL OFFICES: Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier.

160 TRAVEL AND TRANSPORTATION. Relates to the administration of travel and transportation services.

- 160.1 General. Documents relating to travel and transportation which, due to their general nature, cannot be logically filed elsewhere in the 160 series. (9-5)

ALL OFFICES: Destroy after 2 years.

- 160.2 Policies and Procedures. Documents relating to the development, preparation, issuance, and interpretation of directives or regulatory instructions on travel and transportation, including copies of interim policy and procedures statements issued prior to publication in official DCAA numbered policy publications.

ISSUING OFFICE: Upon supersession or obsolescence, place in inactive file. Destroy after 10 years.

OTHER OFFICES: Destroy when superseded or cancelled.

- 160.3 Transportation Officers/Agents. Documents relating to the appointment of transportation officers and agents.
- ALL OFFICES: Destroy 2 years after termination of appointment.
- 160.4 Recurring Reports and Information Requirements. Recurring reports and one-time information requirements regarding travel and transportation.
- ALL OFFICES: Destroy after 3 years.
- 160.5 Travel Orders. Orders directing or authorizing travel to be performed (temporary duty and permanent change of station) including approval for travel to special areas, approval for transportation of automobiles, documents relating to dependent's travel, and other documents relating to the specific travel order.
- TRAVEL OFFICE: Destroy after 4 years.
- OTHER OFFICES: Destroy after completion of travel.
- NOTE: Original transportation documents such as vouchers, contracts, etc., are forwarded to the Transportation Division of the General Accounting Officer by the servicing Accounting and Finance Officer; therefore, the retained copies are informational copies.
- 160.6 Transportation Requests. Retained copies of transportation requests, including cancelled copies, with papers relating to the issue thereof.
- TRAVEL OFFICE: Destroy after 4 years.
- 160.7 Transportation Request Register. Registers containing data on each transportation request issued, such as number, date, name of carrier, name of traveler, cost, and similar information.
- TRAVEL OFFICE: Destroy after 4 years.
- 160.8 Local Transportation Authorization. Documents pertaining to the issuance of commercial bus, rail, ferry, or toll bridge tokens or tickets for official travel by Government personnel.
- TRAVEL OFFICE: Destroy after 4 years.

- 160.9 Bus Passes. Documents reflecting the issuance of passes entitling personnel to board Government operated or contracted transportation facilities.

ISSUING OFFICE: Destroy upon turn-in or replacement of pass.

- 160.10 Administrative-Use Motor Vehicles. Documents reflecting requisitions and requirements for administrative-use vehicles, justification therefor, and approvals and disapprovals.

HEADQUARTERS, DCAA: Destroy after 4 years.

- 160.11 Reference Files. Files relating to the general field of travel and transportation consisting of extra copies of documents which duplicate the record copy filed elsewhere; rough drafts, notes, work papers, and other material being held for reference.

ALL OFFICES: Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier.

## 200 - PLANNING AND REVIEW

This primary functional series contains files relating to overall planning and review of DCAA operations: Planning and Review (205), Preparedness Planning (210), Review and Analysis (220), External Inspections and Investigations (225), Economic Analysis (230), Legal Matters (240), Interagency and International Liaison (250), Legislative and Congressional (260), Organization and Functions (270), Committee Management (275), Management Improvement (280), and Historical Files (290).

205 PLANNING AND REVIEW. Relates to overall planning and review of DCAA operations.

205.1 General. Documents relating to planning and review which, due to their general nature, cannot be logically filed elsewhere in the 205 series.

ALL OFFICES: Destroy after 2 years.

205.2 DCAA Advisory Council. Documents relating to the establishment, membership, functions, agenda, minutes, reports to, recommendations, and other actions pertaining to the DCAA Advisory Council.

EXECUTIVE OFFICE: Permanent.

OTHER OFFICES: All records pertaining to the DCAA Advisory Council retained by other offices may be destroyed upon receipt of these Schedules, because the Council has been discontinued.

205.3 DCAA Annual Report. Documents relating to the preparation and submission of the DCAA Annual Report.

EXECUTIVE OFFICE: Permanent.

OTHER OFFICES: Destroy after 3 years.

205.4 DCAA Executive Conferences. Documents relating to DCAA Executive Conferences, including minutes and follow-up actions.

EXECUTIVE OFFICE: Permanent.

OTHER OFFICES: Destroy after 2 years.

- 205.5 Annual Report of the Secretary of Defense. Documents relating to input from DCAA to the Annual Report of the Secretary of Defense.

EXECUTIVE OFFICE: Permanent.

OTHER OFFICES: Destroy after 2 years.

- 205.6 Regional and FAO Conferences. Documents relating to preparation, minutes, and follow-up actions of conferences held by Regional Managers.

REGIONAL OFFICE OF PRIMARY RESPONSIBILITY: Destroy when no longer needed for reference or after 5 years, whichever is earlier.

OTHER OFFICES: Destroy when no longer needed for reference or after 2 years, whichever is earlier.

- 205.7 Staff Meetings. Agenda and minutes of formal staff meetings called by heads of DCAA activities.

DIRECTOR, DCAA: Permanent.

REGIONAL MANAGERS: Destroy after 10 years.

OTHER OFFICES: Destroy when no longer needed for reference or after 2 years, whichever is earlier.

- 205.8 Other Conferences and Meetings. Records relating to the preparation, development, and conduct of other conferences and meetings which are not included elsewhere in these Records Disposition Schedules.

SPONSORING OFFICE: Destroy when no longer needed for reference, or after 3 years, whichever is earlier.

PARTICIPATING OFFICES: Destroy when no longer needed for reference.

- 205.9 Reference Files. Files relating to the general field of planning and review consisting of extra copies of documents which duplicate the record copy filed elsewhere; rough drafts, notes, work papers, and other material being held for reference.

ALL OFFICES: Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier.

210 PREPAREDNESS PLANNING. Relates to planning for preparedness to meet and respond to international, mobilization, war, and emergency situations.

210.1 General. Documents relating to preparedness planning which, due to their general nature, cannot be filed elsewhere in the 210 series. (18-27)

ALL OFFICES: Destroy after 2 years.

5 210.2 Emergency Planning. Documents relating to planning involving foreign situations and problems of national defense planning and operations as they affect DCAA; plans, policies, and procedures relating to the program objectives and preparedness measures taken for general or limited war, such as mobilization, continuity of operations, and civil defense; and emergency support for civil disturbances, natural disasters, etc. (18-28)

SECURITY OFFICER, DCAA: Permanent.

REGIONAL SECURITY CONTROL OFFICERS: Destroy 5 years after supersession or obsolescence.

OTHER OFFICES: Destroy upon supersession or obsolescence.

210.3 Tests and Exercises. Documents accumulated as a result of participating in testing various emergency plans, including announcements of tests to be conducted, instructions to participants, staffing assignments, test messages, documents reflecting simulated situations and actions, reports, and similar documents.

ALL OFFICES: Destroy when superseded, obsolete, or after 3 years, whichever is earlier.

210.4 Fire Evacuation Plans. Plans and other documents relating to exercises to ensure prompt action in safeguarding life and property in the event of fire.

ALL OFFICES: Destroy when superseded or obsolete.

210.5 Bomb Threat Plans. Plans and other documents relating to exercises to ensure prompt action in safeguarding life and property in the event of bomb threats and similar situations.

ALL OFFICES: Destroy when superseded or obsolete.

- 210.6 Serious Incident Reports. Reports of serious incidents which could possibly activate emergency and preparedness plans.

SECURITY CONTROL OFFICERS: Destroy when no longer needed for reference or 3 years after receipt of final report.

- 210.7 Reference Files. Files relating to the general field of preparedness planning consisting of extra copies of documents which duplicate the record copy filed elsewhere; rough drafts, notes, work papers, and other material being held for reference.

ALL OFFICES: Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier.

- 220 REVIEW AND ANALYSIS. Relates to records accumulated as a result of reviews and surveys which provide for the factual evaluation of the effectiveness and economy of DCAA operations, methods, and procedures.

- 220.1 General. Documents relating to review and analysis which, due to their general nature, cannot be filed elsewhere in the 220 series.

ALL OFFICES: Destroy after 2 years.

- 220.2 Policies and Procedures. Documents relating to the development, preparation, issuance, and interpretation of directives or regulatory instructions on ~~public affairs matters~~, *Review and Analysis*, including copies of interim policy and procedures statements issued prior to publication in official DCAA numbered policy publications.

ISSUING OFFICE: Upon supersession or obsolescence, place in inactive file. Destroy after 10 years.

OTHER OFFICES: Destroy when superseded or cancelled.

- 220.3 General Purpose Surveys. Report of survey; documents relating to actions initiated by findings in the report; requests for corrective action; and subsequent responses to surveys performed by the Office of Review and Analysis, (OR&A), Headquarters, DCAA.

OR&A: Permanent.

NON-OR&A TEAM MEMBERS: Destroy after 5 years.

OFFICE INSPECTED: Destroy after next comparable inspection or upon discontinuance of office, whichever is earlier.

OTHER COPIES OF SURVEY: Destroy when no longer needed for reference.

- 220.4 Special Studies and Analyses. Records accumulated in specific studies and analyses of specific problems in Agency operations, performed by OR&A, HQ, and Regional HQ.

OR&A: Permanent.

REGIONAL OFFICE OF PRIMARY RESPONSIBILITY: Destroy after 10 years.

OTHER COPIES: Destroy when no longer needed for reference.

- 220.5 Regional Headquarters Visits to FAO's. Documents relating to planning and accomplishing visits to FAO's by representatives of the Regional Headquarters for the purpose of surveying overall operations.

REGIONAL HEADQUARTERS AND FAO: Destroy after next comparable visit or upon deactivation of the FAO, whichever is earlier.

- 220.6 Functional Surveys and Reviews. Documents relating to surveys and reviews of a specific function, rather than an overall survey of an office. NOTE: Regional Headquarters may include these files in 220.5; however, when this is done, this file should be so annotated.

OFFICE PERFORMING SURVEY: Destroy after next comparable survey or after 3 years, whichever is earlier.

OFFICE SURVEYED: Destroy after next comparable survey, upon deactivation of the office, or after 3 years, whichever is earlier.

- 220.7 Scheduling. Documents accumulated in reviewing, controlling, and coordinating planned surveys and reviews. Included are schedules of proposed visits, itineraries, approvals, requests for changes, and related documents.

ALL OFFICES: Destroy after 3 years.

- 220.8 Reference Files. Files relating to the general field of review and analysis consisting of extra copies of documents which duplicate the record copy filed elsewhere; rough drafts, notes, work papers, and other material being held for reference.

ALL OFFICES: Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier.



225 EXTERNAL INSPECTIONS AND INVESTIGATIONS. Relates to inspections and investigations by non-DCAA activities, such as representatives of the Office of the Secretary of Defense, General Accounting Office, and inspections of other organizations in which DCAA has an interest.

25  
225.1 Congressional Investigations and Hearings. Documents relating to investigations and hearings by Congress, EXCLUDING hearings regarding appropriations (410) and specific contracts (700), including material relating to selection of witnesses to appear before and the presentation of evidence to Congressional Committees; Committee reports, analyses, and actions; and related material.

EXECUTIVE OFFICE: Permanent.

OTHER OFFICES: Destroy after 5 years.

225.2 General Accounting Office Investigations and Audits. Documents relating to investigations of DCAA conducted by GAO, including reports and documents reflecting action thereon, EXCLUDING GAO Audit Report Reviews (703 and 763).

EXECUTIVE OFFICE: Destroy 10 years after date of report.

OTHER OFFICES: Destroy when no longer needed for reference, or after 3 years, whichever is earlier.

225.3 Office of Secretary of Defense Inspections. Documents relating to inspections of DCAA conducted by the Office of the Secretary of Defense, including reports and documents reflecting action thereon.

EXECUTIVE OFFICE: Destroy 10 years after date of report.

OTHER OFFICES: Destroy when no longer needed for reference, or after 3 years, whichever is earlier.

225.4 Inspector General. Relates to inspections, investigations, and complaints handled by the IG that affect DCAA.

ALL OFFICES: Destroy when no longer needed for reference, or after 3 years, whichever is earlier.

225.5 Reference Files. Files relating to the general field of external inspections and investigations consisting of extra copies of documents which duplicate the record copy filed elsewhere; rough drafts, notes, work papers, and other material being held for reference.

ALL OFFICES: Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier.

230 ECONOMIC ANALYSIS. Records relating to savings and benefits derived from cost avoidance, cost reduction, capital investments, economic analysis, and similar programs.

230.1 General. Documents relating to economic analysis which, due to their general nature, cannot be logically filed elsewhere in the 230 series.

ALL OFFICES: Destroy after 2 years.

230.2 Policies and Procedures. Documents relating to the development, preparation, issuance, and interpretation of directives or regulatory instructions on economic analysis and similar programs, including copies of interim policy and procedures statements issued prior to publication in official DCAA numbered policy publications.

ISSUING OFFICE: Upon supersession or obsolescence, place in inactive file. Destroy after 10 years.

OTHER OFFICES: Destroy when superseded or cancelled.

230.3 Recurring Reports and Information Requirements. Recurring reports and one-time information requirements relating to economic analysis and similar programs.

ALL OFFICES: Destroy after 3 years.

230.4 Project Files. Case files relating to specific projects concerning cost reduction, capital investments, and economic analysis.

ALL OFFICES: Destroy 5 years after completion of project.

240 LEGAL MATTERS. Relates to all legal matters concerning DCAA.

240.1 General. Documents relating to legal matters which, due to their general nature, cannot be logically filed elsewhere in the 240 series.

COUNSEL: Destroy after 3 years.

240.2 Statements of Employment and Financial Interests. DD Form 1555, DD Form 1555-1, and comparable statements.

(1-26)

NOTE: Copies of these statements are to be maintained only by Counsel, DCAA, and the immediate supervisor.

COUNSEL: Destroy 2 years after termination of employment.

SUPERVISORS: Destroy upon transfer or separation of employee.

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8A

- 240.3 Legal Opinions. Records accumulated in the rendering of legal opinions relating to all aspects of the operation and administration of DCAA.

COUNSEL: Permanent.

OTHER OFFICES: File in appropriate subfunction file, and dispose accordingly.

- 240.4 Recurring Reports and Information Requirements. Recurring reports and one-time information requirements not otherwise identified in the 240 series required of the Office of Counsel, DCAA.

COUNSEL: Destroy after 3 years.

- 240.5 Reference Files. Files relating to the general field of legal matters consisting of extra copies of documents which duplicate the record copy filed elsewhere; rough drafts, notes, work papers, and other material being held for reference.

ALL OFFICES: Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier.

- 250 INTERAGENCY AND INTERNATIONAL LIAISON. Relates to DCAA relationships with other Government agencies and foreign countries.

- 250.1 General. Documents relating to interagency and international liaison which, due to their general nature, cannot be filed elsewhere in the 250 series.

ALL OFFICES: Destroy after 2 years.

- 250.2 Policies and Procedures. Documents relating to the development, preparation, issuance, and interpretation of directives or regulatory instructions on interagency and international liaison, including copies of interim policy and procedures statements issued prior to publication in official DCAA numbered policy publications.

ISSUING OFFICE: Upon supersession or obsolescence, place in inactive file. Destroy after 10 years.

OTHER OFFICES: Destroy when superseded or cancelled.

- 250.3 Recurring Reports and Information Requirements. Recurring reports and one-time information requirements concerning interagency and international liaison.

ALL OFFICES: Destroy after 3 years.

- 250.4 Reference Files. Files relating to the general field of interagency and international liaison consisting of extra copies of documents which duplicate the record copy filed elsewhere; rough drafts, notes, work papers, and other material being held for reference.

ALL OFFICES: Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier.

- 260 LEGISLATIVE AND CONGRESSIONAL Relates to legislation, executive orders, proclamations, and to liaison with the White House and Congress. (See 225 for Congressional Investigations.)

- 260.1 General. Documents relating to legislative and Congressional matters which, due to their general nature, cannot be logically filed elsewhere in the 260 series.

ALL OFFICES: Destroy after 2 years.

- 260.2 Policies and Procedures. Documents relating to the development, preparation, issuance, and interpretation of directives or regulatory instructions on legislative and Congressional matters, including copies of interim policy and procedures statements issued prior to publication in official DCAA numbered policy publications.

ISSUING OFFICE: Upon supersession or obsolescence, place in inactive file. Destroy after 10 years.

OTHER OFFICES: Destroy when superseded or cancelled.

- 260.3 Legislation. Drafts of proposed legislation, executive orders, and proclamations; DCAA comments and recommendations relative to legislation, executive orders, and proclamations; background and supporting documents.

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COUNSEL, DCAA: If proposed by DCAA, permanent. If proposed by others, destroy after 5 years.

OTHER OFFICES: Destroy after 2 years.

- 260.4 White House Correspondence. Correspondence from the White House requesting information about DCAA activities, or on behalf of citizens.

2E  
EXECUTIVE OFFICE: Permanent.

OTHER OFFICES: Destroy after 5 years.

260.5 Committee Correspondence. Correspondence with individual Members of Congress and Congressional Committees regarding information about DCAA activities and employees.

9

EXECUTIVE OFFICE: Permanent.

OTHER OFFICES: Destroy after 5 years.

260.6 Congressional Correspondence. Correspondence with individual Members of Congress concerning letters from their constituents requesting employment information and assistance in obtaining employment.

ALL OFFICES: Destroy after 5 years.

260.7 Reference Files. Files relating to the general field of legislative and congressional matters consisting of extra copies of documents which duplicate the record copy filed elsewhere; rough drafts, notes, work papers, and other material being held for reference.

ALL OFFICES: Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier.

270 ORGANIZATION AND FUNCTIONS. Relates to the establishment of and changes in organization and functions, activation and deactivation of offices, and related material.

270.1 Defense Contract Audit Agency. Documents relating to the overall organization and functions of DCAA, including charts, manuals, statements, and similar documents, and rationale for significant changes.

1B

HQ OFFICE OF PRIMARY RESPONSIBILITY: Permanent.

OTHER OFFICES: Destroy when superseded or obsolete.

270.2 Headquarters, DCAA. Documents relating to the organization and functions of Headquarters, DCAA, including charts and rationale for significant changes.

1A

HQ OFFICE OF PRIMARY RESPONSIBILITY: Permanent.

OTHER OFFICES: Destroy when superseded or obsolete.

270.3 Regional Headquarters. Documents relating to the organization and functions of regional headquarters, including charts and rationale for significant changes.

1A

HQ OFFICE OF PRIMARY RESPONSIBILITY: Permanent.

REGIONAL OFFICE OF PRIMARY RESPONSIBILITY: Destroy after 10 years.

OTHER OFFICES: Destroy when superseded or obsolete.

- 270.4 Field Audit Offices. Documents relating to the activation and deactivation, organization and functions of field audit offices, including charts, correspondence relating thereto, and rationale for changes.

1A

HQ OFFICE OF PRIMARY RESPONSIBILITY: Permanent.

REGIONAL OFFICE OF PRIMARY RESPONSIBILITY: Destroy 5 years after FAO is deactivated.

- 270.5 Reference Files. Files relating to the general field of organization and functions consisting of extra copies of documents which duplicate the record copy filed elsewhere; rough drafts, notes, work papers, and other material being held for reference.

ALL OFFICES: Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier.

- 275 COMMITTEE MANAGEMENT. Relates to official interagency and inter-service groups in which DCAA participates or has an interest that are established to consider, investigate, advise, take action, and report to the appointing authority. The term "Committee" is considered to include councils, boards, commissions, subcommittees, panels, subpanels, EXCLUDING committees specifically identified under a related secondary function, such as ASPR and CASB.

- 275.1 General. Documents relating to committee management which, due to their general nature, cannot be logically filed elsewhere in the 275 series.

ALL OFFICES: Destroy after 2 years.

- 275.2 Policies and Procedures. Documents relating to the development, preparation, issuance, and interpretation of directives or regulatory instructions on committee management matters, including copies of interim policy and procedures statements issued prior to publication in official DCAA numbered policy publication.

ISSUING OFFICE: Upon supersession or obsolescence, place in inactive file. Destroy after 10 years.

OTHER OFFICES: Destroy when superseded or cancelled.

2C

- 275.3 Case Files. Documents relating to the establishment, organization, membership, operations, and dissolution of joint, interdepartmental, interagency, or interservice committees, such as Federal Executive Panels, etc., EXCLUDING committees specifically identified under a related secondary function.

WHEN DCAA HOLDS CHAIRMANSHIP: Permanent.

INDIVIDUAL MEMBERS: Destroy 5 years after termination of participation.

- 275.4 Recurring Reports and Information Requirements. Recurring reports and one-time information requirements concerning DCAA's participation in and management of committees.

ALL OFFICES: Destroy after 3 years.

- 275.5 Reference Files. Files relating to the general field of committee management consisting of extra copies of documents which duplicate the record copy filed elsewhere; rough drafts, notes, work papers, and other material being held for reference.

ALL OFFICES: Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier.

- 280 MANAGEMENT IMPROVEMENT. Relates to planning and carrying out an organized program for finding and installing more effective, efficient, and economical ways of doing work through simplification of work procedures and application of management analysis techniques.

- 280.1 General. Documents relating to management improvement which, due to their general nature, cannot be logically filed elsewhere in the 280 series.

ALL OFFICES: Destroy after 2 years.

- 280.2 Policies and Procedures. Documents relating to the development, preparation, issuance, and interpretation of directives or regulatory instructions on management improvement, including copies of interim policy statements issued prior to publication in official DCAA numbered publications.

ISSUING OFFICE: Upon supersession or obsolescence, place in inactive file. Destroy after 10 years.

OTHER OFFICES: Destroy when superseded or cancelled.

- 280.3 Management Surveys. Documents created in the course of a review of an organization or a functional area by a survey, including request for or authorization to conduct the survey, the finished report, and actions taken as a result of the survey.

ALL OFFICES: Destroy upon completion of next comparable survey or after 5 years, whichever is earlier.

- 280.4 Project Files. Documents relating to specific proposals or projects to improve or simplify the manner or method of planning, directing, controlling, or doing work, such as proposals for improvement, flow process charts, work counts, motion economy studies, layout studies, procedures, drafts, and actions taken on proposals.

ALL OFFICES: Destroy after 5 years.

- 280.5 Recurring Reports and Information Requirements. Recurring reports and one-time information requirements relating to management improvement. (16-5)

6B

HQ OFFICE OF PRIMARY RESPONSIBILITY: Permanent.

OTHER OFFICES: Destroy after 3 years.

- 280.6 Reference Files. Files relating to the general field of management improvement consisting of extra copies of documents which duplicate the record copy filed elsewhere; rough drafts, notes, work papers, and other material being held for reference.

ALL OFFICES: Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier.

- 290 HISTORICAL FILES. Documents that have unusual or immediately recognizable historical significance; programs for production of specific and formal histories; and records of value to new management and staff officers.

- 290.1 DCAA Histories. Formally prepared histories, including organizational and functional histories produced by DCAA historians or others for DCAA.

3A

DCAA HISTORIAN: Permanent.

OTHER OFFICES: Destroy when no longer needed for reference.



- 290.2 Planning Group Documents. Records relating to the creation and origin of DCAA and its activities.

3B

HQ - ALL OFFICES: Permanent.

REGIONAL HQ - ALL OFFICES: Destroy after 10 years.

- 290.3 Activity Histories. Locally prepared or collected material appropriate for retention because of its local significance, potential use in production of future organizational or functional histories, or as a source of historical fact.

ALL OFFICES: Destroy when superseded by updated revision.

- 290.4 DCAA Chronological File. A white tissue copy of all correspondence to addressees outside Headquarters, DCAA.

2F

ADMINISTRATIVE SERVICES OFFICE: Permanent.

- 290.5 Regional Manager's Chronological File. A copy of all correspondence to addressees outside the Regional Headquarters.

REGIONAL OFFICE OF PRIMARY RESPONSIBILITY: Destroy after 15 years.

- 290.6 Principal Staff Element Chronological File. A copy of all correspondence to addressees outside the office of the Head of the Principal Staff Element.

OFFICE OF HEAD OF PRINCIPAL STAFF ELEMENT: Destroy after 3 years.

- 290.7 FAO Chronological/Reading Files. Files of extra copies of outgoing communications arranged chronologically and maintained for periodic review by staff members or for convenience of reference.

FIELD AUDIT OFFICES: Destroy after 5 years.

- 290.8 Reading Files. Files of extra copies of outgoing communications arranged chronologically and maintained for periodic review by staff members or for convenience of reference.

ALL OFFICES: Destroy after 1 year. NOTE: Offices shall not retain both chronological and reading files.

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290.9 Executive Staff Files. Files of the Director and Deputy Director will be retained in toto when such files are originated and prepared by that official and are inappropriate for filing under specific secondary functions. Such files may include correspondence and informal notes with DCAA officials, other U.S. Government officials, private sources, foreign governments; memoranda for the record regarding various subjects; and similar material.

OFFICE OF DIRECTOR AND DEPUTY DIRECTOR: Permanent.

290.10 Historical Background and Reference Materials. Materials accumulated by historians or for historical purposes consisting of documents collected or maintained as source material, such as transcripts of interviews; maps, charts, and statistical compilations; special collections of policy directives and correspondence of exceptional importance; summaries of major problems and events submitted by operating officials; notes regarding organization of the historical material; indexes as to type and location of historical material located elsewhere; and manuscripts and comments relating thereto. NOTE: Official record copies of documents proper for filing elsewhere will not be incorporated in this file; however, copies thereof may be included.

ALL OFFICES: Destroy when no longer needed for historical reference purposes.

115

## 300 - PERSONNEL ADMINISTRATION

This primary functional series relates to the supervision over and management of DCAA civilian employees: Personnel Administration (301); Position Classification and Pay (306); Recruiting and Hiring (311); Career Management (315); Training (321); Professional Activities (339); Incentive and Accomplishment Awards (341); Equal Employment Opportunity (346); Labor-Management Relations (347); Standards of Conduct (349); Adverse Personnel Actions (350); Employee Complaints, Grievances, and Appeals (358); Employee Benefits (361); Personnel Operations (371); Program Planning and Evaluation (381); Military Personnel (387); DCAA Savings Bonds Program (388); and Morale, Welfare, and Recreation (399).

301 PERSONNEL ADMINISTRATION. Relates to personnel administration matters.

301.1 General. Documents relating to personnel administration which, due to their general nature, cannot be logically  
/- 17 filed elsewhere in the 300 series.

ALL OFFICES: Destroy after 2 years.

301.2 Policies and Procedures. Documents relating to the development, preparation, issuance, and interpretation of directives or regulatory instructions on personnel matters, including copies of interim policy statements issued prior to publication in official DCAA numbered policy publications.

ISSUING OFFICE: Upon supersession or obsolescence, place in inactive file. Destroy after 10 years.

OTHER OFFICES: Destroy when superseded or cancelled.

301.3 Designation of Civilian Personnel Officer. Documents relating to the civilian personnel officer's basic authorities to act for the Director or Regional Manager in administering civilian personnel actions, such as signing personnel actions; administering oaths of office; authorities to deviate from DCAA or CSC requirements; documentation of the basis for the policies and practices, and procedures which are made under local authority; and records of actions or decisions which are precedent-setting for future operations.

ALL OFFICES: Destroy 2 years after termination of appointment.

- 301.4 Servicing Agreements. Agreements between DCAA and non-DCAA activities for the provision of civilian personnel services.

ALL OFFICES: Destroy 3 years after termination of agreement.

- 301.5 Recurring Reports and Information Requirements. Recurring reports and one-time information requirements not otherwise identified under a related secondary function within the 300 series.

ALL OFFICES: Destroy after 3 years.

- 301.6 Reference Files. Files relating to the general field of personnel administration consisting of extra copies of documents which duplicate the record copy filed elsewhere; rough drafts, notes, work papers, and other material being held for reference.

ALL OFFICES: Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier.

- 306 POSITION CLASSIFICATION AND PAY. Relates to the functions of determining pay rates and administering salary matters relating to civilian employees, EXCLUDING position classification appeal case files - see 358.3.

- 306.1 General. Documents relating to position structure and staffing which, due to their general nature, cannot be logically filed elsewhere in the 306 series.

ALL OFFICES: Destroy after 2 years.

- 306.2 Classification Standards. Classification standards providing guidance in the evaluation of positions including classification and qualification standards.

PERSONNEL OFFICE: Destroy when superseded.

- 306.3 Standards Development. Drafts of standards, correspondence, project schedules, and materials relating to the development of classification and qualification standards.

PERSONNEL OFFICE: Review at least once a year after publication of final standards and destroy all papers which have been superseded or are no longer applicable.

- 306.4 Position Descriptions (Master File). Certified master copies of Optional Form 8, Position Description, or comparable forms, covering all positions serviced by the civilian personnel office. (1-7)

PERSONNEL OFFICE: Destroy 5 years after cancellation or obsolescence.

- 306.5 Position Descriptions (Number Log). A log providing a continuing list of identifying numbers assigned to position descriptions. (1-7)

PERSONNEL OFFICE: Destroy upon discontinuance of the activity or when new numbering system is prescribed.

- 306.6 Position Descriptions (Extra Copies). Extra copies of position descriptions maintained for use when a new incumbent is assigned, when identical positions are established, or for reference. (1-7)

ALL OFFICES: Destroy when position description is superseded or when position is abolished.

- 306.7 Position Descriptions (Organization File). Folders for each organizational element containing organization and staffing charts annotated to reflect positions involved and a copy of each position description. (1-7)

ALL OFFICES: Destroy when superseded or obsolete.

- 306.8 Position Surveys. Documents reflecting the periodic survey of all positions in the organization and reports related thereto, such as the Annual Supergrade and PL-313 Position Report, Annual Certification by Regional Managers, Annual Whitten Amendment Report.

PERSONNEL OFFICE: Destroy 2 years after a regularly scheduled DCAA or CSC inspection, whichever is earlier.

- 306.9 Wage Board Administration. Documents relating to wage board matters, which are forwarded to DCAA for information and/or coordination.

PERSONNEL OFFICE: Destroy when superseded, obsolete, no longer needed for reference, or after 2 years, whichever is earlier.

- 306.10 Special Salary Rates. Documents relating to special salary rates, and to the annual review thereof.

PERSONNEL OFFICE: Destroy when superseded, obsolete, no longer needed for reference, or after 2 years, whichever is earlier.

- 306.11 Salary Schedules. Documents relating to general schedule salary rates; schedules, reports, and similar documents relating to pay setting for civilian employees.

ALL OFFICES: Destroy when superseded or after 3 years, whichever is earlier.

- 306.12 Reference Files. Files relating to the general field of position classification and pay consisting of extra copies of documents which duplicate the record copy filed elsewhere; rough drafts, notes, work papers, and other material being held for reference.

ALL OFFICES: Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier.

- 311 RECRUITING AND HIRING. Relates to the recruiting of new employees, the consideration of applicants or of eligibles from the CSC lists, and the hiring of employees.

- 311.1 General. Documents relating to recruiting and hiring which, due to their general nature, cannot be logically filed elsewhere in the 311 series.

ALL OFFICES: Destroy after 2 years.

- 311.2 Civil Service Certificates. These files provide a record of requests to the CSC for certification of eligibles, such as Request for Certification, Certificates of Eligibles, Statement of Reasons for Passing Over a Preference Eligible and Selecting a Nonpreference Eligible, and similar records.

(1-5)

PERSONNEL OFFICE: Destroy after 2 years.

- 311.3 Applicant Supply Files. These files provide an index to applications of qualified eligibles, govern the order of selection of applicants for appointment used as a basis for determining subsequent recruiting needs, and provide a reference to the Qualifications Standards File. (1-15)

PERSONNEL OFFICE: Destroy after appropriate action has been taken with respect to each applicant listed thereon, in accordance with the FPM and after CSC has inspected each action for compliance with existing rules and regulations. When direct recruiting authority is cancelled, destroy after inspection by the CSC of the propriety of actions taken under the recruiting authority.

- 311.4 Applications. These files provide a repository for applications and supplementary related documents and correspondence.

PERSONNEL OFFICE: Dispose as prescribed by the FPM.

- 311.5 Job Opportunity Announcements. Announcements of job vacancies prepared for bulletin boards, circulation to employees, other agencies, or the public.

PERSONNEL OFFICE: Destroy after 2 years.

- 311.6 Paid Advertising. Documents relating to advertisements placed in news media for the purpose of recruiting, EXCLUDING financial documents.

PERSONNEL OFFICE: Destroy after 3 years.

- 311.7 Priority Placement (Stopper) Lists. Lists received periodically from the Central Referral Activity, and related documents.

PERSONNEL OFFICE: Destroy after 2 years.

- 311.8 Overseas Returnee Lists. Lists received periodically from the Automated Overseas Referral Activity.

PERSONNEL OFFICE: Destroy after 2 years.

- 311.9 Student Trainee Program. Documents relating to all phases of the student trainee program, including recruiting, placement, training, and evaluation.

ALL OFFICES: Destroy when superseded, obsolete, or 1 year after individual leaves program, whichever is earlier.

- 311.10 Recurring Reports and Information Requirements. Recurring reports and one-time information requirements concerning recruiting and student trainees. (1-16)

ALL OFFICES: Destroy after 3 years.

- 311.11 Reference Files. Files relating to the general field of recruiting and hiring consisting of extra copies of documents which duplicate the record copy filed elsewhere; rough drafts, notes, work papers, and other material being held for reference.

ALL OFFICES: Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier.

- 315 CAREER MANAGEMENT. Relates to DCAA programs designed to manage the career or the development of employee's capabilities through a program of selection and assignments; increased promotional opportunities through Agency-wide referral of vacancy lists or consideration by use of centralized qualification records; merit promotion, job rotation, reassignment, and details; overseas rotation; and similar programs.

- 315.1 General. Documents relating to career management which, due to their general nature, cannot be logically filed elsewhere in the 315 series.

ALL OFFICES: Destroy after 2 years.

- 315.2 Career Programs. Record copy of career program supplements maintained for each of several career fields for civilian employees. Includes materials such as drafts, concurrences, recommendations for changes, and similar documents.

PERSONNEL OFFICE: Destroy 5 years after supersession or obsolescence.

- 315.3 Qualification Standards. Documents used in rating applications for appointments and approving non-competitive actions, consisting of index to standards, CSC Handbook X-118, examination announcements, and special standards, such as promotion and training agreements.

PERSONNEL OFFICE: Destroy when superseded or no longer needed for reference.



- 315.4 Applications for Promotion. Forms prepared by employer applicants under the promotion and placement program are used as a record of employee's skills.

PERSONNEL OFFICE: Forms for ineligible applicant will be returned to applicants; forms for eligible applicant not selected will be destroyed after 1 year; forms for eligible applicants who are selected will be filed in the Official Personnel Folder.

- 315.5 Reemployment Rights. These files provide a register of persons having reemployment rights or to whom there is an obligation to reemploy, such as persons separated by reduction in force or for military service, skills listings, and similar documents.

PERSONNEL OFFICE: Destroy after expiration or loss of employee's reemployment priority rights unless an appeal is pending. Destroy lists after expiration of eligibility of all persons on the list.

- 315.6 Reassignments, Job Rotation, and Details. Documents relating to the reassignment, rotation, and detailing of individual DCAA employees.

PERSONNEL OFFICE: Destroy 1 year after termination of employment.

- 315.7 Referral Lists. Lists reflecting referral of names for consideration against vacancies, including requests for such lists, and copies of or notations regarding inquiries as to interest in vacancies.

PERSONNEL OFFICE: Destroy after CSC inspection or after 2 years, whichever is earlier.

- 315.8 Promotion Register and Record. Papers documenting promotion actions under the Federal Merit Promotion Program.

PERSONNEL OFFICE: Destroy after CSC inspection or after 2 years, whichever is earlier.

- 315.9 Executive Manpower Resources Board Activities. Documents relating to EMRB operations, such as policies and procedures, memberships, agenda, minutes of meetings, and related documents.

EMRB RECORDER: Destroy after 10 years.

OTHER COPIES: Destroy when no longer needed for reference.

- 315.10 Executive Development Program. Documents relating to the Executive Development Program and individual participants.

PERSONNEL OFFICE: Destroy 5 years after supersession or obsolescence.

- 315.11 Reference Files. Files relating to the general field of career management consisting of extra copies of documents which duplicate the record copy filed elsewhere; rough drafts, notes, work papers, and other material being held for reference.

ALL OFFICES: Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier.

- 321 TRAINING. Relates to training through DCAA resources, other Government training, and non-Government training.

- 321.1 General. Documents relating to training which, due to their general nature, cannot be logically filed elsewhere in the 321 series.

ALL OFFICES: Destroy after 2 years.

- 321.2 Training Plans. Documents reflecting overall programming and scheduling of training and reports of progress thereon, such as the GETA report.

TRAINING OFFICE: Destroy after 5 years.

OTHER OFFICES: Destroy after 2 years.

- 321.3 Individual Record of Training. Documents reflecting for an employee the courses attended, dates, and similar information.

ALL OFFICES: Review annually and destroy that portion pertaining to individuals who are no longer in the employ of the activity.

- 321.4 Recurring Reports and Information Requirements. Recurring reports and one-time information requirements not covered in other training subfunction files. (1-16)

ALL OFFICES: Destroy after 3 years.

- 322 LOCAL TRAINING. Relates to training provided by each component of DCAA.

- 322.1 Component Administered Auditor Training. Documents relating to specific auditor training courses conducted at DCAA activities utilizing local, Institute, or Headquarters personnel as instructors.
- SPONSORING OFFICE: Destroy after 3 years.
- OTHER OFFICES: Destroy when no longer needed for reference.
- 322.2 Component Administered Non-auditor Training. Documents relating to specific non-auditor training courses conducted at DCAA activities utilizing local, Institute, or Headquarters personnel as instructors.
- SPONSORING OFFICE: Destroy after 3 years.
- OTHER OFFICES: Destroy when no longer needed for reference.
- 322.3 Component Administered Course Evaluations. Documents relating to course reports, critiques by students, and evaluation reports of component administered courses.
- SPONSORING OFFICE: Destroy after 3 years.
- OTHER OFFICES: Destroy when no longer needed for reference.
- 322.4 Defense Contract Audit Institute Management and Supervision. Documents relating to the overall administration and management of DCAI such as correspondence between Headquarters and DCAI, EXCLUDING specific course records.
- ALL OFFICES: Destroy after 3 years.
- 322.5 DCAI Courses. The Official Record Copy of each course manual, both instructor's and student's, prepared for use in courses conducted at DCAI or self-study courses administered by DCAI.
- 16 DCAI: Permanent.
- OTHER OFFICES: Destroy when no longer needed for reference.
- 322.6 Course Development, Background, and Evaluation. Background documents and work papers accumulated in the process of development, presentation, and evaluation of DCAA courses.
- ALL OFFICES: Destroy after 3 years.

- 322.7 Students and Instructors. Documents relating to applications and selections of students and guest instructors from DCAA personnel.

ALL OFFICES: Destroy after 2 years.

- 322.8 Non-DCAA Participation. Records relating to policies and procedures concerning participation of non-DCAA personnel as students and instructors at DCAI, including letters of agreement and understanding between DCAA and other organizations and similar documents. EXCLUDES records pertaining to the participation of an individual at a specific course.

ALL OFFICES: Destroy when no longer needed for reference, or 3 years after termination of agreement, as appropriate for the record.

- 322.9 Reference Files. Files relating to the general field of training consisting of extra copies of documents which duplicate the record copy filed elsewhere; rough drafts, notes, work papers, and other material being held for reference.

ALL OFFICES: Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier.

323 NON-DCAA TRAINING. Relates to training of employees in non-DCAA facilities, EXCLUDING financial documents.

- 323.1 General. Documents relating to non-DCAA training which, due to their general nature, cannot be logically filed elsewhere in the 323 series.

ALL OFFICES: Destroy after 2 years.

- 323.2 Other Government Training. Documents relating to training of DCAA employees in other Government training facilities including agreements, requests for quotas or personnel spaces, evaluations or comments, and similar material.

ALL OFFICES: Destroy after 5 years.

- 323.3 Non-Government Training. Documents relating to training of DCAA employees in non-Government training facilities, including requests for approval of such training, agreements, copies of obligated service agreements, if any, and similar material.

ALL OFFICES: Destroy after 5 years.

- 323.4 Reference Files. Files relating to the general field of non-DCAA training consisting of extra copies of documents which duplicate the record copy filed elsewhere; rough drafts, notes, work papers, and other material being held for reference.

ALL OFFICES: Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier.

330 PROFESSIONAL ACTIVITIES. Relates to the participation of DCAA employees in professional activities outside DCAA and CPA accreditation.

- 330.1 General. Documents relating to professional activities which, due to their general nature, cannot be logically filed elsewhere in the 330 series.

ALL OFFICES: Destroy after 2 years.

- 330.2 CPA Accreditation. Correspondence with State boards regarding acceptance of DCAA experience as qualifying for taking the CPA examination and for certification; correspondence with professional societies, CPA firms, other Government agencies, colleges, and universities regarding the auditing profession.

ALL OFFICES: Destroy when superseded, obsolete, or no longer needed for reference.

- 330.3 CPA Preparation. Documents relating to the CPA coaching courses provided to auditors by DCAA.

ALL OFFICES: Destroy when superseded, obsolete, no longer needed for reference, or after 2 years, whichever is earlier.

- 330.4 Professional Activity Case Files. Documents relating to the participation of DCAA employees in professional activities outside DCAA, such as the FGAA, and similar organizations.

ALL OFFICES: Destroy after 2 years.

- 330.5 Reports on Professional Activities. Copies of submissions for publication in the DCAA Bulletin and similar reports relating to participation in professional activities.

ALL OFFICES: Transmittal letters will be destroyed after each month's activities are recorded. Individual activity report will be filed in employee's career folder - see 315.3.

330.6 Reference Files. Files relating to a general field of professional activities consisting of extra copies of documents which duplicate the record copy filed elsewhere; rough drafts, notes, work papers, and other material being held for reference.

ALL OFFICES: Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier.

341 INCENTIVE AND ACCOMPLISHMENT AWARDS. Relates to the system of awards and incentives for superior accomplishments, acts, or suggestions which have contributed to the efficiency and economy in administration and operations.

341.1 General. Documents relating to incentive and accomplishment awards which, due to their general nature, cannot be logically filed elsewhere in the 341 series.

ALL OFFICES: Destroy after 2 years.

341.2 Incentive Awards Reports. Summary and consolidated reports on monetary and non-monetary awards. (1-13)

PERSONNEL OFFICE: Destroy after 3 years.

341.3 Register of Honorary and Monetary Awards (Except Suggestions). Register of nominations received, approved, disapproved, amount of award paid, and dates.

PERSONNEL OFFICE: Destroy after 3 years.

341.4 Incentive Awards Boards. Documents relating to board operations such as policies and procedures, memberships, and comparable papers.

ALL MEMBERS: Destroy when superseded, obsolete, no longer needed for reference, or after 3 years, whichever is earlier.

341.5 Nominations for Awards. Case files of recommendations together with supporting papers submitted by operating officials and related papers incident to consideration of employees for performance awards and honorary awards, such as Outstanding Performance, Quality Salary Increases, Special Achievement, Distinguished Civilian Service, Meritorious Civilian Service, Civilian Award for Achievement, Publications Award, Presidential Award for Distinguished Civilian Service, DoD Distinguished Civilian Service, Federal Womens Award, Outstanding Handicapped Federal Employee, National Civil Service League Career Service, Arthur S. Flemming, Rockefeller Public Service, William A. Jump Memorial, and similar performance and honorary awards.

PERSONNEL OFFICE: Destroy 3 years after case is closed.

OTHER OFFICES: Destroy after 2 years.

- 341.6 Letters of Commendation and Appreciation. Copies of letters recognizing length of service and retirement; letters of appreciation and commendation for performance, EXCLUDING those copies filed in Official Personnel Folders.
- ALL OFFICES: Destroy after 2 years.
- 341.7 Civilian Service Emblem Control Files. Requisitions for and controls maintained to record eligibility for award of emblems.
- PERSONNEL OFFICE: Destroy after 2 years.
- 341.8 Employee Suggestion Register. Registers or controls of employee suggestions received.
- PERSONNEL OFFICE: Destroy 2 years after final action is taken on all suggestions listed thereon.
- 341.9 Employee Suggestions. Case files for specific suggestions made by civilian employees to improve administration and operations, including both approved and rejected suggestions. Includes acknowledgment of receipt of suggestion, evaluation, approval or rejection, and issue of awards.
- PERSONNEL OFFICE: Destroy 3 years after case is closed.
- 341.10 Reference Files. Files relating to the general field of incentive and accomplishment awards consisting of extra copies of documents which duplicate the record copy filed elsewhere; rough drafts, notes, work papers, and other material being held for reference.
- ALL OFFICES: Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier.
- 346 EQUAL EMPLOYMENT OPPORTUNITY. Relates to the program for equal employment opportunity.
- 346.1 General. Documents relating to equal employment opportunity which, due to their general nature, cannot be logically filed elsewhere in the 346 series.
- ALL OFFICES: Destroy after 2 years.

- 346.2 Affirmative Action Plans. Annual reports showing the existing problems related to EEO, and the plans for improvement.

DCAA EEO OFFICER: *Destroy after 3 years.*  
~~Permanent.~~

REGIONAL EEO OFFICER: Destroy after *3 years.*  
~~10 years.~~

OTHER OFFICES: Destroy when no longer needed for reference or after 3 years, whichever is earlier.

- 346.3 Annual Report. Narrative report showing the problems, accomplishments, and other matters relative to the EEO program.

DCAA EEO OFFICER: *Destroy after 3 years.*  
~~Permanent.~~

REGIONAL EEO OFFICER: Destroy after *3 years.*  
~~10 years.~~

OTHER OFFICES: Destroy when no longer needed for reference or after 3 years, whichever is earlier.

- 346.4 Special Reports on EEO. Reports on specific EEO programs, such as the status of women, minority groups, mentally handicapped, and similar recurring or one-time information requirements concerning the DCAA EEO Program.

DCAA EEO OFFICER: Destroy after 5 years.

REGIONAL EEO OFFICER: Destroy after 3 years.

OTHER OFFICES: Destroy when no longer needed for reference or after 2 years, whichever is earlier.

- 346.5 Reference Files. Files relating to the general field of equal employment opportunity consisting of extra copies of documents which duplicate the record copy filed elsewhere; rough drafts, notes, work papers, and other material being held for reference.

ALL OFFICES: Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier.

- 347 LABOR-MANAGEMENT RELATIONS. Relates to documents regarding the relationship between management and employee unions, groups, or associations.

- 347.1 General. Documents relating to labor-management relations which, due to their general nature, cannot be logically filed elsewhere in the 347 series.

ALL OFFICES: Destroy after 2 years.



- 347.2 Case Files. Documents relating to the relationship between management and individual employee unions, groups, or associations, such as petitions for exclusive recognition, agreements, and similar documents.

OFFICE NEGOTIATING AGREEMENT: Destroy 5 years after supersession or obsolescence.

OTHER OFFICES: Destroy when no longer needed for reference.

- 347.3 Labor Relations. Documents relating to work stoppages and strikes; strike reports, correspondence relating to settlement of disputes; and related documents.

ALL OFFICES: Destroy 3 years after close of case.

- 347.4 Reference Files. Files relating to the general field of labor-management relations consisting of extra copies of documents which duplicate the record copy filed elsewhere; rough drafts, notes, work papers, and other material being held for reference.

ALL OFFICES: Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier.

- 349 STANDARDS OF CONDUCT. Relates to the system designed to ensure that all DCAA personnel do not have conflicts of interest and are aware of and adhere to codes of ethics and standards of conduct.

- 349.1 General. Documents relating to standards of conduct which, due to their general nature, cannot be logically filed elsewhere in the 349 series.

ALL OFFICES: Destroy after 2 years.

- 349.2 Operations. Documents reflecting the operation of the system designed to ensure that all personnel read and fully understand the standards of conduct and ethics required of them.

PERSONNEL OFFICE: Destroy after the next periodic application of the system.

- 349.3 Reference Files. Files relating to the general field of standards of conduct consisting of extra copies of documents which duplicate the record copy filed elsewhere; rough drafts, notes, work papers, and other material being held for reference.

ALL OFFICES: Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier.

350 ADVERSE PERSONNEL ACTIONS. Relates to relationships with employees in the areas of discipline, adverse personnel actions, changes to lower grade and reduction in force.

350.1 General. Documents relating to adverse personnel actions which, due to their general nature, cannot be filed elsewhere in the 350 series.

ALL OFFICES: Destroy after 2 years.

350.2 Competitive Levels. Logs, registers, or other control documents maintained for the purpose of documenting determinations as to specific competitive levels within areas serviced by the civilian personnel office.

PERSONNEL OFFICE: Destroy 1 year after supersession or obsolescence.

350.3 Retention Registers. Retention registers or lists for each competitive level affected by a reduction in force and lists reflecting information as to employees' retained and those separated during the reduction in force. (1-17)

PERSONNEL OFFICE: Destroy after 2 years UNLESS an appeal is pending. Destroy files relating to an appeal 2 years after settlement of the appeal.

350.4 Reduction In Force. Documents relating to reduction in force, EXCLUDING appeal case files - see 358, such as the Centralized Priority Referral System, Displaced Employee Program, and similar records.

ALL OFFICES: Destroy when superseded, obsolete, no longer needed for reference, or after 2 years, whichever is earlier.

350.5 Reference Files. Files relating to the general field of adverse personnel actions consisting of extra copies of documents which duplicate the record copy filed elsewhere; rough drafts, notes, work papers, and other material being held for reference.

ALL OFFICES: Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier.

358 EMPLOYEE COMPLAINTS, GRIEVANCES, AND APPEALS. Relates to EEO complaints, grievances and appeals of DCAA employees.

358.1 General. Documents relating to complaints, grievances, and appeals which, due to their general nature, cannot be filed elsewhere in the 358 series.

ALL OFFICES: Destroy after 2 years.

- 358.2 EEO Complaints. Individual employee case files on complaints under the Equal Employment Opportunity Program, including basic documents, records of hearings or meetings, copy of decision rendered, and related correspondence and exhibits.

HEADQUARTERS: Transfer to FRC when case is closed. Destroy 10 years after transfer.

REGIONS: Destroy 1 year after case is closed.

- 358.3 Grievances and Appeals. Individual employee case files relating to all grievances and appeals, and other employee problems processed or reviewed. Includes basic documents, records of hearings or meetings, copy of decision rendered, and related correspondence and exhibits.

PERSONNEL OFFICE: Retain file for each separate case in current files area for 7 years after case is closed, then destroy.

- 358.4 Reference Files. Files relating to the general field of employee complaints, grievances, and appeals consisting of extra copies of documents which duplicate the record copy filed elsewhere; rough drafts, notes, work papers, and other material being held for reference.

ALL OFFICES: Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier.

- 361 EMPLOYEE BENEFITS. Relates to employee benefits such as health benefits, compensation for injury, severance pay, unemployment compensation, retirement, and life insurance.

- 361.1 General. Documents relating to employee benefits which, due to their general nature, cannot be logically filed elsewhere in the 361 series.

ALL OFFICES: Destroy after 2 years.

- 361.2 Benefit Files. Project files relating to employee benefits such as health benefits, compensation for injury, severance pay, unemployment compensation, retirement, and life insurance, EXCLUDING documents filed in Official Personnel Folders and individual accident case files - see 371 and 130.

ALL OFFICES: Destroy when superseded, obsolete, no longer needed for reference, or after 3 years, whichever is earlier.

- 361.3 Reference Files. Files relating to the general field of employee benefits consisting of extra copies of documents which duplicate the record copy filed elsewhere; rough drafts, notes, work papers, and other material being held for reference.

ALL OFFICES: Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier.

371 PERSONNEL OPERATIONS. Documents relating to individual employees of DCAA.

- 371.1 General. Documents relating to personnel operations which, due to their general nature, cannot be logically filed elsewhere in the 371 series.

ALL OFFICES: Destroy after 2 years.

- 371.2 Supervisor's Personnel Records. Records providing current information relative to employees, positions, strength authorizations, actions in process; copies of position descriptions; files used by supervisors and office chiefs in considering employees separated for military service for position change actions in absentia; requests for personnel actions; and records pertinent to individual employees which are duplicated in, or not appropriate for, the Official Personnel Folder.

ALL OFFICES: Review annually and destroy documents which have been superseded or are no longer applicable, or destroy 1 year after transfer or separation of the employee, whichever is earlier.

- 371.3 Personnel Identification Media. Documents related to the system of authorization and issuance of non-security identification media to permit entrance to an installation or activity and to identify the individual as an authorized representative of DCAA. Includes issuance, receipt, return, and destruction of special credentials, auditor credentials, U.S. Government Identification Cards, EXCLUDING registers in 371.4.

ISSUING OFFICE: Destroy 2 years after final disposition of identification media, except that receipts signed by individuals may be destroyed upon turn-in of credentials.

- 371.4 Personnel Identification Registers. Registers maintained by issuing officers showing to whom credentials are issued, date of issue, date of return, and date of destruction.

ISSUING OFFICE: Remove individual pages from registers when final disposition of all credentials listed thereon has been made, hold 2 years, then destroy.

- 371.5 Locator Records. Strips or cards maintained as a ready reference to the organizational segment to which the employee is assigned.

PERSONNEL OPERATIONS OFFICE: Destroy upon transfer or separation of the employee.

- 371.6 Personnel Authorizations. Copies of memorandums, letters, tables of authorized strength, and other documents which reflect personnel spaces allotted to various organizational segments and which provide the Civilian Personnel Office with a basis for maintaining a specific number of position identification strips on the personnel control file.

PERSONNEL OPERATIONS OFFICE: Destroy upon supersession.

- 371.7 Service Record File. Files providing a record of positions and incumbents, a medium for controlling personnel strength, and a device for follow-up actions due. They consist of SF 7D, Position Identification Strip, and SF 7, Service Record Card. (1-2)

PERSONNEL OPERATIONS OFFICE: Destroy SF 7D upon reclassification or cancellation of the positions. The SF 7 will be withdrawn and placed in 371.8 upon transfer or separation of the employee.

- 371.8 Inactive Service Records. Files providing a record of separated employees, including forwarding address and destination of Official Personnel Folder, and SF 7, Service Record Card. (1-2)

PERSONNEL OPERATIONS OFFICE: Destroy 3 years after transfer or separation of employee.

- 371.9 Departure Clearances. Documents created to show clearance procedures accomplished with respect to transferred or separated employees, and evaluation of turnover. They consist of activity clearance forms or check lists indicating the accomplishment of various types of administrative actions which are prerequisites to release of employees.

PERSONNEL OPERATIONS OFFICE: Destroy after 2 years.

- 371.10 Group Action Requests. Files providing a record of the basis for processing personnel and position actions resulting from job surveys and consist of group action request lists or similar forms.

PERSONNEL OPERATIONS OFFICE: Destroy 4 years after supersession.

- 371.11 Chronological Journal. Copy of each SF 50, Notification of Personnel Action, for use as source material for preparation of reports, for a ready reference device for review of actions previously processed, and for information of CSC and DCAA representatives. (1-14)

PERSONNEL OPERATIONS OFFICE: Destroy after 2 years.

- 371.12 Attendance and Leave. Documents relating to hours of duty and leave administration.

ALL OFFICES: Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier.

- 371.13 Official Personnel Folders. Individual official personnel folders comprising the official record of each civilian employee of the Federal Government during his or her tenure of service with the Government. NOTE: This file number is only for overall identification of the file series and shall not be placed on the folders themselves. (1-1)

PERSONNEL OPERATIONS OFFICE: Upon transfer or separation of employee, effect disposition as prescribed in the Federal Personnel Manual.

- 371.14 Reference Files. Files relating to the general field of personnel operations consisting of extra copies of documents which duplicate the record copy filed elsewhere; rough drafts, notes, work papers, and other material being held for reference.

ALL OFFICES: Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier.

381 PROGRAM PLANNING AND EVALUATION. Relates to planning and evaluation of the DCAA Personnel Management Program.

- 381.1 General. Documents relating to program planning and evaluation which, due to their general nature, cannot be logically filed elsewhere in the 381 series.

ALL OFFICES: Destroy after 2 years.

- 381.2 Program Planning and Evaluation Reports. Summary and consolidated reports on the planning and evaluation of the DCAA Personnel Management Program.

PERSONNEL OFFICE: Destroy after 10 years.

OTHER OFFICES: Destroy when no longer needed for reference.

- 381.3 Civil Service Commission Inspections. Reports of inspections and audits of civilian personnel administration conducted by representatives of the CSC.

OFFICE INSPECTED: Destroy after next comparable inspection, EXCEPT that inspection reports containing job evaluation determinations which have the effect of grade level standards will, if still current, be filed under 306.2.

- 381.4 DCAA Surveys of Civilian Personnel Administration. Reports of surveys of civilian personnel administration conducted by representatives of DCAA.

OFFICE SURVEYED AND SURVEY TEAM: Destroy upon completion of next comparable survey.

- 381.5 Personnel Conferences. Documents relating to personnel conferences attended by DCAA personnel or held by activities of DCAA.

ALL OFFICES: Destroy after 3 years.

- 381.6 Reference Files. Files relating to the general field of program planning and evaluation consisting of extra copies of documents which duplicate the record copy filed elsewhere; rough drafts, notes, work papers, and other material being held for reference.

ALL OFFICES: Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier.

### 387 MILITARY PERSONNEL.

- 387.1 General. Documents relating to military personnel which, due to their general nature, cannot be filed elsewhere in the 387 series.

ALL OFFICES: Destroy after 2 years.

- 387.2 Ready Reserve. Documents relating to civilian members of the military ready reserve.

PERSONNEL OFFICE: Destroy 5 years after supersession or obsolescence.

- 387.3 Reference Files. Files relating to the general field of military personnel consisting of extra copies of documents which duplicate the record copy filed elsewhere; rough drafts, notes, work papers, and other material being held for reference.

ALL OFFICES: Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier.

- 388 DCAA SAVINGS BONDS PROGRAM. Relates to the concepts, development, administration, and reports and analyses of the DCAA-wide program for the promotion of the sale of U.S. Savings Bonds.

- 388.1 General. Documents relating to the Savings Bonds Program which, due to their general nature, cannot be logically filed elsewhere in the 388 series.

ALL OFFICES: Destroy after 2 years.

- 388.2 Savings Bonds Reports. Summary and consolidated reports of participation of employees in the DCAA Savings Bonds Program.

ALL OFFICES: Destroy after 3 years.

- 388.3 Reference Files. Files relating to the general field of savings bonds consisting of extra copies of documents which duplicate the record copy filed elsewhere; rough drafts, notes, work papers, and other material being held for reference.

ALL OFFICES: Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier.

- 399 MORALE, WELFARE, AND RECREATION.

- 399.1 Morale, Welfare, and Recreation. Documents relating to morale, welfare, and recreation activities sponsored, monitored, or publicized by DCAA in the interest of employees.

ALL OFFICES: Destroy when superseded, obsolete, no longer needed for reference, or after 2 years, whichever is earlier.



## 400 - FINANCIAL MANAGEMENT

This primary functional series relates to overall financial management of appropriated funds, including Budget (410), Accounting (420), Manpower (430), and Payroll Liaison (440).

- 400.1 General. Documents relating to financial management which, due to their general nature, cannot be logically filed elsewhere in the 400 series. (5-3)

ALL OFFICES: Destroy after 2 years.

- 400.2 Policies and Procedures. Documents relating to the development, preparation, issuance, and interpretation of directives or regulatory instructions on general financial management matters, EXCLUDING these specifically on accounting, budget, and manpower, including copies of interim policy and procedures statements issued prior to publication in official DCAA numbered policy publications.

ISSUING OFFICE: Upon supersession or obsolescence, place in inactive file. Destroy after 10 years.

OTHER OFFICES: Destroy when superseded or cancelled.

- 400.3 Reference Files. Files relating to the general field of financial management consisting of extra copies of documents which duplicate the record copy filed elsewhere; rough drafts, notes, work papers, and other material being held for reference.

ALL OFFICES: Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier.

- 410 BUDGET. Relates to documents accumulated in the preparation, presentation, review, and execution of the DCAA budget.

- 410.1 Budget Execution. Documents relating to the expense operating budget from OSD, operating budget authorizations for all components of DCAA, quarterly operating budget work papers, operating budget requests for current fiscal year and estimates for following fiscal year, and related background data.

ALL OFFICES: Destroy 5 years after FY involved.

- 11  
410.2 Budget Formulation and Presentation. Documents relating to the formulation, presentation, and review by higher authority of the DCAA budget, including policies and procedures. OSD/OMB budget estimate submissions, work papers, and backup data; supplemental budget data to OSD; Congressional hearings backup data, including House and Senate testimony; apportionment submissions to OSD and related papers; Program Budget decisions and reclamations, and related documents. (5-2)

HEADQUARTERS BUDGET OFFICE: Permanent.

OTHER OFFICES: Destroy 5 years after FY involved.

- 10B  
410.3 Manpower Requirements and Utilization Review. Documents establishing current and projected manpower requirements for budgeting purposes.

HEADQUARTERS BUDGET OFFICE: Permanent.

OTHER OFFICES: Destroy 5 years after FY involved.

- 410.4 Recurring Reports and Information Requirements. Recurring reports and one-time information requirements submitted to higher authority or prepared for internal management purposes, such as expenditure forecast data, minor construction, obligations by state, man-year and costs, quarterly financial management report, and similar reports. (5-5)

ALL OFFICES: Destroy 5 years after FY involved.

- 410.5 Cross-Service Support Agreements. Policy and procedures relating to interservice, interagency, and cross-service agreements in support of DCAA; memorandums of understanding; copies of agreements; and similar formal documentation covering acquisition or use of real property space; supply management relationships; and procurement agreements between DCAA and the servicing activity.

ALL OFFICES: Destroy 3 years after termination of agreement.

- 410.6 Reimbursable Audits. Documents relating to the analysis of the reimbursable audit program as it affects the DCAA budget, including non-DoD agencies, regional analyses, billing and earning rates, and related work papers.

ALL OFFICES: Destroy 5 years after FY involved.

- 410.7 Budget Program Data. Documents relating to the Five Year Defense Program element list, program element summary data, submissions, objective memorandums, related guidance and program change requests and decisions; and documents relating to workload factors and output performance which affect the DCAA budget.

HQ AND REGIONAL HQ: Destroy 5 years after FY involved.

- 410.8 General. Documents relating to budget matters which, due to their general nature, cannot be logically filed elsewhere in the 410 series. (5-3)

ALL OFFICES: Destroy after 2 years.

- 410.9 Reference Files. Files relating to the general field of budget consisting of extra copies of documents which duplicate the record copy filed elsewhere; rough drafts, notes, work papers, and other material being held for reference.

ALL OFFICES: Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier.

- 420 ACCOUNTING. Relates to the accounting for funds allocations, allotments, obligations, expenditures, disbursement, reimbursement, collections, and adjustments. DCAA fiscal accounting stations maintain only memorandum copies of GAO site audit records; the originals of these documents (such as statements of transactions and collection and disbursement schedules and vouchers) are maintained by the non-DCAA Accounting and Finance Offices which provide voucher preparation and/or examination, disbursing, and related reporting services to DCAA activities.

CUTOFF OF ACCOUNTING RECORDS. All accounting records shall be cut off at the end of the fiscal year.

RETIREMENT TO FEDERAL RECORDS CENTERS. All Group 217 records shall be retained for 3 years, then retired to the Federal Records Center.

SITE-AUDIT RECORDS. Series identified as Group 217 records are disposed of under GAO authority. When preparing Standard Form 135, an extra copy of the SF 135, marked "Copy for GAO, Wash, DC" shall be forwarded with the records to the Federal Records Center. This copy will be forwarded by the Center to GAO for records control purposes.

- 420.1 General. Documents relating to accounting which, due to their general nature, cannot be logically filed elsewhere in the 420 series.

ALL OFFICES: Destroy when superseded, obsolete, or no longer needed for reference.

- 420.2 Policies and Procedures. Documents relating to the development, preparation, issuance, and interpretation of directives or regulatory instructions on accounting, including copies of interim policy and procedures statements issued prior to publication in official DCAA numbered policy publications.

ISSUING OFFICE: Upon supersession or obsolescence, place in inactive file. Destroy after 10 years.

OTHER OFFICES: Destroy when superseded or cancelled.

- 420.3 Accounting Correspondence. Correspondence files maintained by operating units responsible for appropriations accounting, pertaining to their internal operations and administration.  
(7-1)

ALL OFFICES: Destroy after 2 years.

- 420.4 Imprest Funds. Documents accumulated by imprest fund cashiers which reflect the receipt and accounting for imprest funds. Included are copies of reimbursement vouchers and receipts for funds entrusted to agent officer which also reflect acknowledgment of return of funds and statement of balance.

ALL OFFICES: Destroy after 2 years.

- 420.5 Recurring Reports and Information Requirements. Recurring reports and one-time information requirements submitted to higher authority or those prepared for internal management purposes, such as Report on Budget Status, Reimbursable Transactions, Obligations, Financial Transaction Summary, Statement of Financial Condition, Analysis of Financial Operations, and similar reports. (7-4)

ALL OFFICES: Destroy after 4 years.

- 420.6 Transactions for Defense Agencies Disbursement Reports. Includes all reports relating to disbursement transactions as reported to allottees and to HQ, DCAA, by Army, Navy, and Air Force finance offices. These reports include Statement of Transactions and Transactions for Defense Agencies.

HQ /AF REGIONAL HQ: GROUP 217 RECORDS. Destroy after 10 years, 3 months.

- 421 GENERAL ACCOUNTS LEDGERS. General accounts ledgers, showing debit and credit entries, and reflecting expenditures in summary and fund authorizations.

- 421.1 Fund Authorizations from OSD. Documents relating to fund authorizations received from the Office of the Secretary of Defense. (7-2)

HEADQUARTERS, DCAA: Destroy after 10 years.

- 421.2 General Ledgers. Contains accounts necessary to reflect financial operations of fund authorizations. (7-2)

HEADQUARTERS, DCAA: Destroy after 10 years.

- 422 ALLOTMENT RECORDS. Records showing status of allotments under each authorized appropriation.

- 422.1 Cash Disbursement Ledger. Book of original entry used to record all disbursements made against the allotment being maintained. (7-3)

HQ AND REGIONAL HQ: Destroy after 10 years.

- 422.2 Obligation Control Ledger. Book of original entry which places under accounting control each document representing an obligation against the allotment being maintained. (7-3)

HQ AND REGIONAL HQ: Destroy after 10 years.

- 422.3 Allotment Working Papers. The culmination of all financial activity which occurs during the fiscal year relating to the allotment. They consist of the Analysis of Undelivered Orders, the Analysis of Financial Transactions and the Cumulative Expenses By Expense Account/Object Class. (7-3)

HQ AND REGIONAL HQ: Destroy after 10 years.

- 422.4 Fund Authorizations from HQ, DCAA. Operating Budget Authorizations which are the financial authorities issued by HQ, DCAA to its allottees. (7-3)

... HQ AND REGIONAL HQ: Destroy after 10 years.

- 422.5 Disbursement Vouchers. Informational copies of all disbursement vouchers paid against the allotment. Includes the original obligating document attached to the paid voucher. (NOTE: Originals of all disbursement vouchers are transferred to the Federal Records Centers as Group 217 records by the servicing Accounting and Finance Office.) (7-3)

HQ AND REGIONAL HQ: GROUP 217 RECORDS. Destroy after 10 years.

- 423 POSTING AND CONTROL MEDIA. Records used as posting and control media, subsidiary to the general and allotment ledgers.

- 423.1 Accounts Receivable Bills, Subsidiary, and Collection Ledgers. The Bills and Collections Ledgers are books of original entry into which all reimbursable billing and collection vouchers are posted; they are the source of entries in the subsidiary ledger which maintains the accounts receivable by amount, bill, and source, and include copies of reimbursable billing statements. (7-4)

ALL OFFICES: Destroy after 4 years.

- 423.2 Accounts Receivable Collection Vouchers. Source documents for entries made in the collection ledger. (7-4)

HEADQUARTERS, DCAA: Destroy after 4 years.

- 423.3 Operating Budget Control and Status Ledgers. These ledgers are maintained to record and control the individual items and the total of the Operating Budget received from OASD(C) and subsequently issued to allottees. (7-4)

HEADQUARTERS, DCAA: Destroy after 4 years.

- 423.4 Journal Vouchers (SF 1017G). Source of all entries made to the general ledger. (7-4)

HEADQUARTERS, DCAA: GROUP 217 RECORDS. Destroy after 10 years, 3 months.

- 423.5 Cancelled Obligating Documents. Original obligating documents which have been posted to the obligation control ledger and subsequently cancelled in their entirety. (7-4)

HQ AND REGIONAL HEADQUARTERS: Destroy after 4 years.

430 MANPOWER. Relates to the overall control of manpower resources and spaces in DCAA.

430.1 General. Documents relating to manpower which, due to their general nature, cannot be logically filed elsewhere in the 430 series.

ALL OFFICES: Destroy after 2 years.

430.2 Policies and Procedures. Documents relating to the development, preparation, issuance, and interpretation of directives or regulatory instructions on accounting, including copies of interim policy and procedures statements issued prior to publication in official DCAA numbered policy publications.

ISSUING OFFICE: Upon supersession or obsolescence, place in inactive file. Destroy after 10 years.

OTHER OFFICES: Destroy when superseded or cancelled.

430.3 Personnel Authorizations. Documents regarding the allotment, increase, or decrease of personnel spaces in DCAA activities; manpower authorization vouchers, tables of authorization reflecting, by organizational element, the grade category and number of civilian personnel allotted to DCAA activities. Includes drafts of proposed tables, justifications, coordinating actions, published tables, and correspondence relating thereto.

HEADQUARTERS MANPOWER OFFICE: Destroy 20 years after FY involved.

REGIONAL HEADQUARTERS: Destroy 10 years after FY involved.

OTHER OFFICES: Destroy after 2 years.

430.4 Personnel Control. Documents accumulated in connection with techniques for keeping personnel strength, workloads, and grade structure in balance, including work measurement sheets, personnel yardsticks, charts of grades and ratings, and personnel workload reports, such as documents dealing with grade escalation and average grade.

ALL OFFICES: Destroy after 3 years.

- 430.5 Personnel Strength Reports. Documents regarding the reporting of authorized and actual strength of civilian personnel in DCAA activities, strength by occupational specialty and grade, and similar strength reports, whether recurring or one-time information requirements.

HEADQUARTERS, DCAA: Destroy after 10 years.

REGIONAL HEADQUARTERS: Destroy after 5 years.

OTHER OFFICES: Destroy after 2 years.

- 430.6 Manpower Surveys. Documents accumulated in connection with manpower surveys and studies covering such subjects as personnel authorizations, manning levels, manpower analyses, workload factors, and emergency requirements. Includes inventory and appraisal reports, manpower survey reports and schedules, and comparable data.

ALL OFFICES: Destroy upon completion of next comparable survey or after 5 years, whichever is earlier.

- 430.7 Reference Files. Files relating to the general field of manpower consisting of extra copies of documents which duplicate the record copy filed elsewhere; rough drafts, notes, work papers, and other material being held for reference.

ALL OFFICES: Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier.

- 440 PAYROLL LIAISON. Documents relating to liaison between DCAA and non-DCAA offices providing payroll support to DCAA through cross-service agreements.

- 440.1 General. Documents relating to payroll liaison which, due to their general nature, cannot be logically filed elsewhere in the 440 series. (2-2)

ALL OFFICES: Destroy when superseded or obsolete, or after 2 years, whichever is earlier.

- 440.2 Time and Attendance Reports. Copies used in payroll preparation and processing that are retained by time and attendance clerks. (2-3 b)

ALL OFFICES: Destroy 6 months after end of pay period.



## 500 - INFORMATION SYSTEMS AND SERVICES

This primary functional series relates to a variety of information management systems, programs, and services, including public relations, management information systems, and records management programs. Included are: Public Affairs (501), Availability to the Public and Control of "For Official Use Only" Information (502), Files Maintenance and Disposition (510), Telecommunications (520), Office Machines (530), Publications (540), Periodicals (541), Printing (545), Audio-Visual Aids (550), Forms (560), Reports (565), Correspondence (570), Mail (575), and ADP Management and Services (590).

501 PUBLIC AFFAIRS. Relates to programs and functions involving relationships between DCAA and the public, such as community relations, civilian ceremonies, participation in charity programs, blood donor programs, official speeches, articles, press releases, etc.

501.1 General. Documents relating to public affairs matters which, due to their general nature, cannot be logically filed elsewhere in the 501 series.

ALL OFFICES: Destroy after 2 years.

501.2 Policies and Procedures. Documents relating to the development, preparation, issuance, and interpretation of directives or regulatory instructions on public affairs matters, including copies of interim policy and procedures statements issued prior to publication in official DCAA numbered policy publications.

ISSUING OFFICE: Upon supersession or obsolescence, place in inactive file. Destroy after 10 years.

OTHER OFFICES: Destroy when superseded or cancelled.

10 501.3 Press Releases. Documents prepared specifically for release to news media, such as press releases, press conference transcripts, fact sheets, official speeches, graphic progress presentations, and similar material.

ALL OFFICES: Permanent.

10 501.4 Published Articles. Published or processed articles prepared by DCAA personnel for publication in professional journals and similar media, including approval and clearance documents. (14-1)

FILE MAINTAINED BY EXECUTIVE OFFICE: Permanent.

OTHER OFFICES: Destroy after 3 years.

- 10 501.5 Speeches. Official speeches by DCAA personnel, including papers relating to requests, approvals, and clearances, and similar documents concerning platform appearances by DCAA personnel before Government groups, professional societies, educational institutions, and similar groups. (14-1)

FILES MAINTAINED BY EXECUTIVE OFFICE: Permanent.

OTHER OFFICES: Destroy after 3 years.

- 501.6 Community Relations. Documents relating to measures taken to promote good relations between DCAA activities and local communities.

ALL OFFICES: Destroy after 3 years.

- 501.7 Public Ceremonies. Documents relating to participation in public ceremonies and affairs, such as parades, public displays, fairs, celebrations, and observances of local and national holidays and comparable events.

ALL OFFICES: Destroy after 3 years.

- 501.8 Charitable Programs. Documents relating to DCAA participation in campaigns and drives of charitable organizations.

ALL OFFICES: Destroy after 3 years.

- 501.9 Blood Donor Program. Documents relating to DCAA participation in blood donor programs.

ALL OFFICES: Destroy after 3 years.

- 501.10 Non-Government Briefings. Documents accumulated in the process of providing briefings of the mission and functions of DCAA to private organizations and individuals, including representatives of foreign governments.

ALL OFFICES: Destroy after 3 years.

- 501.11 Recurring Reports and Information Requirements. Recurring reports and one-time information requirements relating to public affairs programs.

ALL OFFICES: Destroy after 3 years.

- 501.12 Reference Files. Files relating to the general field of public affairs consisting of extra copies of documents which duplicate the record copy filed elsewhere; rough drafts, notes, work papers, and other material being held for reference.

ALL OFFICES: Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier.

- 502 AVAILABILITY TO THE PUBLIC OF DCAA INFORMATION AND CONTROL OF "FOR OFFICIAL USE ONLY" INFORMATION. Relates to the protection and control of non-classified information exempted from public disclosure and documents created in specific instances of furnishing or denying copies of specific records to the public.

- 502.1 General. Documents relating to availability of DCAA information to the public and control of FOUO information which, due to their general nature, cannot be logically filed elsewhere in the 502 series.

ALL OFFICES: Destroy after 2 years.

- 502.2 Policies and Procedures. Documents relating to the development, preparation, issuance, and interpretation of directives or regulatory instructions on availability to the public of DCAA information and control of FOUO information, including copies of interim policy and procedures statements issued prior to publication in official DCAA numbered policy publications.

ISSUING OFFICE: Upon supersession or obsolescence, place in inactive file. Destroy after 10 years.

OTHER OFFICES: Destroy when superseded or cancelled.

- 502.3 User Charges. Documents relating to the determination of fees and user charges for requests from the public for information. NOTE: Policies and Procedures regarding User Charges should be filed in 502.2; reports of collections of User Charges, in 502.7.

ALL OFFICES: Destroy after 3 years.

- 502.4 Requests Allowed. Documents created in the process of responding to requests for which the information is provided, including a copy of the request and the reply, as well as other pertinent backup material.

ALL OFFICES: Destroy after 4 years.

- 502.5 Requests Denied. Documents created in the process of responding to initial requests for which the information is denied, including a copy of the request and the reply, as well as all other pertinent material supporting the decision to deny the information.

ALL OFFICES: Destroy after 10 years.

- 502.6 Appeals to the Director, DCAA. All documents created in the process of responding to administrative appeals to the Director, DCAA, for the release of information initially denied, including a copy of the letter from the appellant, all pertinent background information, and a copy of the Director's decision.

OFFICE OF COUNSEL, DCAA: Destroy after 10 years.

- 502.7 Recurring Reports and Information Requirements. Recurring reports and one-time information requirements relating to the program of providing DCAA information to the public and controlling FOUO information.

ALL OFFICES: Destroy after 3 years.

- 502.8 Reference Files. Files relating to the general field of availability of information and control of FOUO information consisting of extra copies of documents which duplicate the record copy filed elsewhere; rough drafts, notes, work papers, and other material being held for reference.

ALL OFFICES: Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier.

- 510 FILES MAINTENANCE AND DISPOSITION. Documents relating to the program for economical and efficient management of files, files systems and procedures, files equipment and supplies, and files disposition.

- 510.1 General. Documents relating to files maintenance and disposition which, due to their general nature, cannot be logically filed elsewhere in the 510 series.

ALL OFFICES: Destroy after 2 years.

- 510.2 Policies and Procedures. Documents relating to the development, preparation, issuance, and interpretation of directives or regulatory instructions on files maintenance and disposition, including copies of interim policy and procedures statements issued prior to publication in official DCAA numbered policy publications.

ISSUING OFFICE: Upon supersession or obsolescence, place in inactive file. Destroy after 10 years.

OTHER OFFICES: Destroy when superseded or cancelled.

- 6D 510.3 Records Control Schedules Approval. Records relating to obtaining approval for disposal of records from the General Accounting Office and the National Archives and Records Service of the General Services Administration. (16-3)

RECORDS ADMINISTRATOR, DCAA: Upon supersession or obsolescence, place in inactive file. Permanent.

OTHER OFFICES: Destroy when superseded or cancelled.

- 510.4 Records Transfer and Retirement Control. Documents reflecting the transfer of records to another agency or the retirement of records to a Federal Records Center, such as Records Transmittal and Receipt Forms, shipping lists, approvals for destruction or retention of exceptional records, and similar documents.

ALL OFFICES: Place in inactive file when all records listed thereon have been destroyed, hold in current or inactive files for 3 years, then destroy.

- 510.5 Files Equipment and Supplies. Documents relating to the utilization of files equipment, the evaluation, selection, and requirements for specialized equipment and supplies.

ALL OFFICES: Destroy after 3 years.

- 510.6 Recurring Reports and Information Requirements. Recurring reports and one-time information requirements relating to files maintenance and disposition, such as the annual summary of records holdings, reports of cleanout campaigns, and reports of vital records holdings. (16-6)

ALL OFFICES: Destroy after 3 years.

- 510.7 Reference Files. Files relating to the general field of files maintenance and disposition consisting of extra copies of documents which duplicate the record copy filed elsewhere; rough drafts, notes, work papers, and other material being held for reference.

ALL OFFICES: Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier.

520 TELECOMMUNICATIONS. Records relating to the utilization of telecommunications systems.

- 520.1 General. Documents relating to telecommunications which, due to their general nature, cannot be logically filed elsewhere in the 520 series. (12-2)

ALL OFFICES: Destroy after 2 years.

- 520.2 Policies and Procedures. Documents relating to the development, preparation, issuance, and interpretation of directives or regulatory instructions on telecommunications matters, including copies of interim policy and procedures statements issued prior to publication in official DCAA numbered policy publications.

ISSUING OFFICE: Upon supersession or obsolescence, place in inactive file. Destroy after 10 years.

OTHER OFFICES: Destroy when superseded or cancelled.

- 520.3 Teletype and Teletypewriter. Documents reflecting evaluation, leasing, usage, controls, reports and procedures relative to teletype and teletypewriter services.

ALL OFFICES: Destroy when superseded, obsolete, no longer needed for reference, or after 2 years, as appropriate.

- 520.4 Telephones and Interphones. Documents relating to location, usage, installation, and service for telephones and interphones.

ALL OFFICES: Destroy when superseded, obsolete, or after 1 year, as appropriate.

- 520.5 Telephone Toll Call Records. Documents relating to authorized, official toll and long distance telephone calls, including reports of such usage.

ALL OFFICES: Destroy after 3 months or upon completion of any required action, whichever is later.

- 520.6 Message Logs and Perasters. Relates to documents used to record assignment of message numbers or to index messages prior to submission to message centers.

ALL OFFICES: Destroy after 1 year.

- 520.7 Recurring Reports and Information Requirements. Recurring reports and one-time information requirements relating to telecommunications.

ALL OFFICES: Destroy after 3 years.

- 520.8 Reference Files. Files relating to the general field of telecommunications consisting of extra copies of documents which duplicate the record copy filed elsewhere; rough drafts, notes, work papers, and other material being held for reference.

ALL OFFICES: Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier.

- 530 OFFICE MACHINES. Relates to the study of office machines and word processing systems, EXCLUDING Automated Data Processing, the selection and adoption of those best suited to DCAA operations, usage and controls.

- 530.1 General. Documents relating to office machines which, due to their general nature, cannot be logically filed elsewhere in the 530 series.

ALL OFFICES: Destroy after 2 years.

- 530.2 Policies and Procedures. Documents relating to the development, preparation, issuance, and interpretation of directives or regulatory instructions on office machines, including copies of interim policy and procedures statements issued prior to publication in official DCAA numbered policy publications.

ISSUING OFFICE: Upon supersession or obsolescence, place in inactive file. Destroy after 10 years.

OTHER OFFICES: Destroy when superseded or cancelled.

530.3 Office Machine Evaluation Case File. Files relating to the evaluation of specific items of office equipment and machines for use in particular applications, including correspondence regarding review and evaluation of the items, requests for approval or use of the equipment, and related documents.

ALL OFFICES: Destroy 4 years after completion of evaluation.

530.4 Recurring Reports and Information Requirements. Recurring reports and one-time information requirements relating to office machines.

ALL OFFICES: Destroy after 3 years.

530.5 Reference Files. Files relating to the general field of office machines consisting of extra copies of documents which duplicate the record copy filed elsewhere; rough drafts, notes, workpapers, and other material being held for reference.

ALL OFFICES: Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier.

540 PUBLICATIONS. Relates to the management and administration of the DCAA Publications System.

540.1 General. Documents relating to publications management and administration which, due to their general nature, cannot be logically filed elsewhere in the 540 series. (13-2)

ALL OFFICES: Destroy after 2 years.

540.2 Policies and Procedures. Documents relating to the development, preparation, issuance, and interpretation of directives or regulatory instructions on publications, including copies of interim policy and procedures statements issued prior to publication in official DCAA numbered policy publications.

ISSUING OFFICE: Upon supersession or obsolescence, place in inactive file. Destroy after 10 years.

OTHER OFFICES: Destroy when superseded or cancelled.



- 1B 540.3 Official Publications Record Set. A record copy of each numbered regulation, manual, instruction, pamphlet, and handbook, and a copy of each change thereto, authenticated at Headquarters, DCAA or Regional Headquarters. Included in the file will be background papers relating to the publication that provide a basis for the issuance and documents reflecting all coordination. EXCLUDED are such papers retained by the proponent of the publication under the Policies and Procedures series for each subfunction. (13-1)(14-1)(16-1)

PUBLICATIONS CONTROL OFFICERS: Cut off file at end of fiscal year. Retain in current or inactive files for 2 years. Retire to Federal Records Center.

HEADQUARTERS, DCAA: Permanent.

REGIONAL HEADQUARTERS: Destroy after 20 years.

- 540.4 Publications Coordination Files. Documents retained by offices showing concurrences, nonconcurrences, and other pertinent comments relating to proposed publications for which another office has primary responsibility as the issuing office. Issuing Offices will use the Policy and Procedures series for the related subfunction.

ALL OFFICES: Destroy after 1 year.

- 540.5 Recurring Reports and Information Requirements. Recurring reports and one-time information requirements relating to publications.

ALL OFFICES: Destroy after 3 years.

- 540.6 Implementation of DoD Issuances (HQ, DCAA, ONLY). Documents reflecting the complete history of all actions taken by DCAA in the implementation or non-implementation of DoD Directives/Instructions, such as coordination actions on proposed issuances; comments on proposed issuances; published issuances and changes thereto; and all communications concerning implementation or non-implementation by DCAA.

PUBLICATIONS CONTROL OFFICER: Retain indefinitely in current files area; *Do not transfer to FRE.*

- 540.7 Reference Files. Files relating to the general field of directives publications consisting of extra copies of documents which duplicate the record copy filed elsewhere; rough drafts, notes, work papers, and other material being held for reference.

ALL OFFICES: Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier.

541 PERIODICALS. Relates to the management and administration of DCAA periodicals.

- 541.1 General. Documents relating to periodicals management and administration which, due to their general nature, cannot be logically filed elsewhere in the 541 series.

ALL OFFICES: Destroy after 2 years.

- 541.2 Policies and Procedures. Documents relating to the development, preparation, issuance, and interpretation of directives or regulatory instructions on periodicals, including copies of interim policy and procedures statements issued prior to publication in official DCAA numbered policy publications.

ISSUING OFFICE: Upon supersession or obsolescence, place in inactive file. Destroy after 10 years.

OTHER OFFICES: Destroy when superseded or cancelled.

- 541.3 Periodicals Record Set. A record copy of each issue of each periodical issued by Headquarters, DCAA, or a Regional Headquarters. (14-1) (16-1)

1B

HEADQUARTERS, DCAA: Permanent.

REGIONAL HEADQUARTERS: Destroy after 20 years.

- 541.4 Periodical Background Material. Items submitted for publishing in the periodical.

ISSUING OFFICE: Destroy after 3 years.

SUBMITTING OFFICES: Destroy after 1 year.

- 541.5 Recurring Reports and Information Requirements. Recurring reports and one-time information requirements relating to periodicals, including review and approval forms.

ALL OFFICES: Destroy after 3 years.

- 541.6 Reference Files. Files relating to the general field of periodicals consisting of extra copies of documents which duplicate the record copy elsewhere; rough drafts, notes, work papers, and other material being held for reference.

ALL OFFICES: Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier.

545 PRINTING AND DISTRIBUTION. Related to the management and operations of printing and distribution functions.

- 545.1 General. Documents relating to printing and distribution which, due to their general nature, cannot be logically filed elsewhere in the 545 series. (13-2)

ALL OFFICES: Destroy after 2 years.

- 545.2 Policies and Procedures. Documents relating to the development, preparation, issuance, and interpretation of directives or regulatory instructions on printing and distribution, including copies of interim policy and procedures statements issued prior to publication in official DCAA numbered policy publications.

ISSUING OFFICE: Upon supersession or obsolescence, place in inactive file. Destroy after 10 years.

OTHER OFFICES: Destroy when superseded or cancelled.

- 545.3 Manuscripts and Art Work. Documents returned by the printer such as manuscripts, copies of publications and printer's galley proofs, photographs, drawings, maps, charts, and other art work prepared for illustrations in publications.

PRINTING AND DISTRIBUTION CONTROL OFFICE: Destroy upon printing and distribution of the publication, EXCEPT that those documents which would have continuing value for use in later revisions, related publications, or reuse in the event of reprinting will be destroyed when obsolete.

- 545.4 Accountable Publications Receipt and Issue Records. Receipt cards or other forms showing the receipt or issuance of accountable publications, e.g., Defense Contract Audit Manual, which are subject to special control.

CONTROL OFFICE: Retain in current files and destroy when the related accountable publication is destroyed.

- 545.5 Accountable Forms Receipt and Issue Records. Receipt cards or other blank forms showing the receipt or issuance of blank accountable forms which are subject to special control by reason of monetary value of the form, such as transportation requests and transportation request identification cards.

CONTROL OFFICE: Retain in current files for 2 years, then destroy.

- 545.6 Publications Distribution Files. Documents accumulated from the automatic distribution of publications, blank forms and periodicals based on indicated requirements or advance requisitioning.

DISTRIBUTION OFFICE: Destroy when superseded or obsolete, except that documents requesting changes may be destroyed upon completion of posting to the current distribution listing.

- 545.7 Publications and Blank Forms Stock Records. Control records maintained to ensure maintenance of stocks on hand to meet requirements.

DISTRIBUTION OFFICE: Destroy after card or listing is filled, or upon supersession, revision, or obsolescence of items indicated thereon, whichever is earlier.

- 545.8 Publications and Blank Forms Supply Files. Requisitions, requests, shipping orders, transfer requests, and related documents accumulated from the process of requisitioning publications and blank forms from the source of supply or the filling of requisitions from stocks on hand.

ALL OFFICES: Destroy after requisition is filled.

- 545.9 Printing and Duplicating Requisitions. Work orders, cost records, and requisitions for printing services and duplicating work outside DCAA offices. (13-7)

CONTROL OFFICES: Destroy after 2 years.

OTHER OFFICES: Destroy when work is completed.

- 545.10 Recurring Reports and Information Requirements. Recurring reports and one-time information requirements relating to printing and distribution.

ALL OFFICES: Destroy after 3 years.

- 545.11 Reference Files. Files relating to the general field of printing and distribution consisting of extra copies of documents which duplicate the record copy filed elsewhere; rough drafts, notes, work papers, and other material being held for reference.

ALL OFFICES: Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier.

550 AUDIO VISUAL AIDS. Documents relating to graphics, audio and visual aids.

- 550.1 General. Documents relating to audio-visual aids which, due to their general nature, cannot be specifically filed elsewhere in the 550 series.

ALL OFFICES: Destroy after 2 years.

- 550.2 Policies and Procedures. Documents relating to the development, preparation, issuance, and interpretation of directives or regulatory instructions on audio-visual aids, including copies of interim policy and procedure statements issued prior to publication in official DCAA numbered policy publications.

ISSUING OFFICE: Upon supersession or obsolescence, place in inactive file. Destroy after 10 years.

OTHER OFFICES: Destroy when superseded or cancelled.

- 550.3 Audio-Visual Aids Case Files. Records relating to specifications, requisitions, and related material for graphics, art work, visual aids, and similar technical material.

ALL OFFICES: Destroy after 3 years.

- 550.4 Recurring Reports and Information Requirements. Recurring reports and one-time information requirements relating to audio-visual aids.

ALL OFFICES: Destroy after 3 years.

- 550.5 Technical Material Reference. Extra copies of motion pictures, sound recordings, still photographs, maps, and similar materials maintained for reference purposes.

ALL OFFICES: Destroy when superseded, obsolete, or no longer needed for reference, EXCEPT that accountable reusable material will be returned to the source of supply.

- 550.6 Reference Files. Files relating to the general field of audio-visual aids consisting of extra copies of documents which duplicate the record copy filed elsewhere; rough drafts, notes, work papers, and other material being held for reference.

ALL OFFICES: Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier.

560 FORMS. Documents relating to forms management for controlling use, standardization, construction, number, and distribution.

560.1 General. Documents relating to forms which, due to their general nature, cannot be logically filed elsewhere in the 560 series.

ALL OFFICES: Destroy after 2 years.

560.2 Policies and Procedures. Documents relating to the development, preparation, issuance, and interpretation of directives or regulatory instructions on forms, including copies of interim policy and procedures statements issued prior to publication in official DCAA numbered policy publications.

ISSUING OFFICE: Upon supersession or obsolescence, place in inactive file. Destroy after 10 years.

OTHER OFFICES: Destroy when superseded or cancelled.

560.3 Recurring Reports and Information Requirements. Recurring reports and one-time information requirements relating to forms management.

ALL OFFICES: Destroy after 3 years.

6C 560.4 Forms Management Case Files. Documents accumulated in offices having authority to approve forms, control during existence, and revision or rescission of a specific form. Included are requests for approval of forms, justification, coordination papers, instructions governing use, and a copy of each edition of the form. (16-4)

FORMS CONTROL OFFICERS: Transfer to inactive file when superseded or cancelled.

HEADQUARTERS, DCAA: Permanent.

REGIONAL HEADQUARTERS: Destroy after 20 years.

560.5 Non-DCAA Forms Case Files. Documents accumulated regarding forms used within DCAA but approved and issued by other agencies. Included are copies of forms, instructions governing use, and coordination papers.

FORMS CONTROL OFFICERS: Destroy when form is superseded or cancelled.

- 560.6 Forms Register. A register or card system used to record and control the assignment of form numbers.

FORMS CONTROL OFFICERS: Destroy control document when all forms listed thereon have been discontinued.

- 560.7 Forms Functional File. One copy of each form created within the office, together with information showing the date of inception and scope of the form, the purpose served by the form, and references to related procedures instituted, revised, superseded, or cancelled. This file is maintained by individual offices to control forms instituted by the office and to assist the office in actions such as determining whether new forms should be consolidated or replaced by other forms, etc. NOTE: The Official Record File is maintained by the Forms Control Officer under 560.4.

ALL OFFICES: Destroy when form is cancelled.

- 560.8 Reference Files. Files relating to the general field of forms consisting of extra copies of documents which duplicate the record copy filed elsewhere; rough drafts, notes, work papers, and other material being held for reference.

ALL OFFICES: Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier.

- 565 RECURRING REPORTS AND INFORMATION REQUIREMENTS. Relates to the management of the reports management program which is designed to control reports; provide that reports are adequate, necessary, accurate, and timely; eliminate unnecessary reports; and standardize necessary related materials and procedures.

- 565.1 General. Documents relating to reports and information requirements management which, due to their general nature, cannot be logically filed elsewhere in the 565 series.

ALL OFFICES: Destroy after 2 years.

- 565.2 Policies and Procedures. Documents relating to the development, preparation, issuance, and interpretation of directives or regulatory instructions on reports and information requirements, including copies of interim policy and procedures statements issued prior to publication in official DCAA numbered policy publications.

ISSUING OFFICE: Upon supersession or obsolescence, place in inactive file. Destroy after 10 years.

OTHER OFFICES: Destroy when superseded or cancelled.

- 565.3 Reports and Information Requirements Case Files. Documents accumulated in reports management offices which reflect actions taken relating to each recurring report. Included are applications for approval of report, copies of pertinent directives and forms, or reference thereto, studies, and correspondence relating to interpretation of instructions or procedures and similar documents.

INFORMATION MANAGEMENT CONTROL OFFICER: Upon cancellation of report, place in inactive file. Destroy 3 years after cancellation.

- 565.4 Reports Control Symbol Register. A register used to control the assignment of reports control symbols and numbers.

INFORMATION MANAGEMENT CONTROL OFFICER: Destroy register or individual pages when all reports listed thereon have been cancelled.

- 565.5 Recurring Reports and Information Requirements. Recurring reports and one-time information requirements relating to reports management, such as cost estimates for reports, reduction in information requirements, and similar information.

ALL OFFICES: Destroy after 3 years.

- 565.6 Reference Files. Files relating to the general field of reports and information requirements consisting of extra copies of documents which duplicate the record copy filed elsewhere; rough drafts, notes, work papers, and other material being held for reference.

ALL OFFICES: Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier.

- 570 CORRESPONDENCE. Documents relating to correspondence management and the application of management techniques to correspondence practices to increase efficiency, improve the quality of appearance and content, and to reduce costs.

- 570.1 General. Documents relating to correspondence which, due to their general nature, cannot be logically filed elsewhere in the 570 series.

ALL OFFICES: Destroy after 2 years.



- 570.2 Policies and Procedures. Documents relating to the development, preparation, issuance, and interpretation of directives or regulatory instructions on correspondence, including copies of interim policy and procedures statements issued prior to publication in official DCAA numbered policy publications.

ISSUING OFFICE: Upon supersession or obsolescence, place in inactive file. Destroy after 10 years.

OTHER OFFICES: Destroy when superseded or cancelled.

- 570.3 Recurring Reports and Information Requirements. Recurring reports and one-time information requirements relating to correspondence management.

ALL OFFICES: Destroy after 3 years.

- 570.4 Reference Files. Files relating to the general field of correspondence management consisting of extra copies of documents which duplicate the record copy filed elsewhere; rough drafts, notes, work papers, and other material being held for reference.

ALL OFFICES: Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier.

- 575 MAIL. Documents relating to mail management and mail processing operations, including receiving, sorting, opening, routing, distribution, delivery, control, pickup, and dispatch.

- 575.1 General. Documents relating to mail management and operations which, due to their general nature, cannot be logically filed elsewhere in the 575 series. (12-2)

ALL OFFICES: Destroy after 2 years.

- 575.2 Policies and Procedures. Documents relating to the development, preparation, issuance, and interpretation of directives or regulatory instructions on mail, including copies of interim policy and procedures statements issued prior to publication in official DCAA numbered policy publications.

ISSUING OFFICE: Upon supersession or obsolescence, place in inactive file. Destroy after 10 years.

OTHER OFFICES: Destroy when superseded or cancelled.

- 575.3 Suspense Files. Papers or forms arranged in chronological order in individual offices as a reminder that an action is required on a given date; a reply to an action is expected and if not received should be traced on a given date; or a transitory paper being held for reference which can be destroyed on a given date.

ALL OFFICES: Destroy when no longer needed for control purposes.

- 575.4 Postal Directory. Documents utilized in mail rooms in maintaining a locator system to facilitate delivery of mail to individuals, such as locator cards; copies of assignment or transfer orders; and similar documents.

ALL OFFICES: Destroy 6 months after departure of individuals.

- 575.5 Accountable Mail Control. Records relating to the handling, accounting, receipting for, and dispatch of registered, certified, or numbered insured mail. (12-5)

ALL OFFICES: Destroy after 1 year, EXCEPT when a classified document receipt is not available to establish proof of receipt of a classified document which was transmitted by registered or certified mail, in which case the Accountable Mail record will be retained with the Classified Document Receipt and/or Tracer files.

- 575.6 Routine Mail Control. Documents relating to the control of incoming and outgoing mail including routing and suspense slips, delivery receipts, record of messenger trips, and similar documents maintained by mail rooms. (12-6 a)

ALL OFFICES: Destroy after 1 year.

- 575.7 Recurring Reports and Information Requirements. Recurring reports and one-time information requirements relating to mail management and operations.

ALL OFFICES: Destroy after 3 years.

- 575.8 Lost and Rifled Mail. Records relating to and reporting of the loss or rifling of mail. (12-5 f)

ALL OFFICES: Destroy after 1 year.

575.9 Reference files. Files relating to the general field of mail management and operations consisting of extra copies of documents which duplicate the record copy filed elsewhere; rough drafts, notes, work papers, and other material being held for reference.

ALL OFFICES: Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier.

590 AUTOMATED DATA PROCESSING (ADP) MANAGEMENT AND SERVICES. Relates to the study of ADP time-shared systems, and the selection and adoption of those best suited to DCAA operations; the DoD Data Standardization Program; and services provided by offices responsible for the systems.

590.1 General. Documents relating to ADP management and services which, due to their general nature, cannot be logically filed elsewhere in the 590 series.

ALL OFFICES: Destroy after 2 years.

590.2 Policies and Procedures. Documents relating to the development, preparation, issuance, and interpretation of directive or regulatory instructions on ADP, including interim policy and procedures statements issued prior to publication in official DCAA numbered policy publications.

ISSUING OFFICE: Upon supersession or obsolescence, place in inactive file. Destroy after 10 years.

OTHER OFFICES: Destroy when superseded or cancelled.

590.3 ADP Planning and Program Management. Documentation reflecting the management and determination of the Agency's ADP resources and requirements, including records relating to overall objectives, plans, and concepts governing management and utilization of ADP within DCAA.

HEADQUARTERS, DCAA: Destroy after 10 years.

REGIONAL HEADQUARTERS: Destroy after 5 years.

590.4 ADP Systems Development and Evaluation. Records relating to correspondence, reports, studies, and related records concerning the study, selection, adoption, exploitation, and integration of ADP systems in DCAA operations.

HEADQUARTERS, DCAA: Destroy after 10 years.

REGIONAL HEADQUARTERS: Destroy after 5 years.

- 590.5 Recurring Reports and Information Requirements. Recurring reports and one-time information requirements relating to the management and use of ADP systems. Reports and information requirements produced by such systems will be filed under the appropriate secondary function.

ALL OFFICES: Destroy after 3 years.

- 590.6 Data Standardization. Documents relating to the policies, procedures, and actions required to implement the Defense Standardization Program in coordination with the Federal Standardization Program of GSA and other Government agencies.

ALL OFFICES: Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier.

- 590.7 ADP Systems Implementation. Documents accumulated in the process of implementing approved ADP systems, including coordination actions, orientation and training, dissemination of information, review of proposals for acquisition, progress reporting, feasibility studies, application studies, and monitorship of test applications.

HEADQUARTERS OFFICE OF PRIMARY RESPONSIBILITY: Destroy after 10 years.

REGIONAL HEADQUARTERS OFFICE OF PRIMARY RESPONSIBILITY: Destroy after 5 years.

OTHER OFFICES: Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier.

- 590.8 Management Information Systems (MIS) Projects. Project files containing requests, specifications, cost estimates, and other documents relating to computer programs which are developed to meet a specific information requirement using data maintained in the MIS. Outputs produced by such programs will be filed under the appropriate secondary function.

ALL OFFICES: Destroy after 10 years.

- 590.9 Automated Personnel Inventory System (APIS) Program Projects. Project files containing requests, specifications, cost estimates, and other documents relating to computer programs which are developed to meet a specific information requirement using data maintained in the APIS. Outputs produced by such programs will be filed under the appropriate secondary function.

ALL OFFICES: Destroy after 10 years.

590.10 Advanced Audit Techniques (AAT) Project. Files containing requests, specifications, user guides, and other documents relating to computer programs which are developed to meet specific audit applications. Outputs produced by such programs will be filed under the appropriate secondary functions.

ALL OFFICES: Destroy after 10 years.

590.11 Reference Files. Files relating to the general field of automated data processing management and services consisting of extra copies of documents which duplicate the record copy filed elsewhere; rough drafts, notes, work papers, and other material being held for reference.

ALL OFFICES: Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier.

## 700 - AUDIT MANAGEMENT AND SERVICES

This primary functional series relates to records created by Headquarters and Regional Headquarters offices whose primary mission is the management, evaluation, and supervision of audit services provided by DCAA Field Audit Offices (700-704) and audit services provided by Field Audit Offices (FAOs) (760-765). All offices performing audit functions will use, as required, file series listed in the primary functions 100 through 500 for all records not identified in this functional series.

700 AUDIT MANAGEMENT. This secondary file series contains records that are common to all offices performing an audit function.

700.1 General. Documents relating to audit management matters which, due to their general nature, cannot be logically filed elsewhere in the 700-704 series.

ALL OFFICES: Destroy after 3 years.

12 700.2 Recurring Reports. Recurring reports relating to audit management such as the Audit Program Reporting System and the Summary Report of Audit Operations, whether prepared for non-DCAA use or for internal management purposes.

HEADQUARTERS OFFICE OF PRIMARY RESPONSIBILITY: Permanent.

REGIONAL HEADQUARTERS OFFICE OF PRIMARY RESPONSIBILITY:  
Destroy after 20 years.

OTHER OFFICES: Destroy when no longer needed for reference.

700.3 One-Time Information Requirements. One-time requests for information relating to audit matters, whether prepared for DCAA or other Government use, EXCLUDING requests from the general public, see 502.

HEADQUARTERS OFFICE OF PRIMARY RESPONSIBILITY: Destroy after 20 years.

REGIONAL HEADQUARTERS OFFICE OF PRIMARY RESPONSIBILITY:  
Destroy after 10 years.

OTHER OFFICES: Destroy when no longer needed for reference.

- 700.4 Review/Coordination on Non-DCAA Publications. Records relating to post review of and coordination on publications issued or to be issued by non-DCAA activities which may have an impact on DCAA operations such as instances from ASPR, CASI, other DoD components, or non-DCAA component activities.

NOTE: See 540.5 for DCAA publications.

ALL OFFICES: Destroy after 3 years.

- 700.5 Post Review of Technical Instructions. Records relating to the review of Headquarters correspondence and regional instructional material to assure conformance with contract audit policy, and to determine possible need for new or revised guidance.

ALL OFFICES: Destroy after 3 years.

- 700.6 Seminars and Conferences. Records relating to the preparation, development and conduct of seminars, conferences, and similar meetings which cover technical audit areas. Also includes records relating to attendance at such meetings if not appropriate for filing under a specific file series.

ALL OFFICES: Destroy after 3 years.

- 700.7 Indoctrination and Training. Records relating to means of providing indoctrination and improvement of audit in technical areas, including records of on-site and written assistance, evaluations of field performance and justification for in-depth reviews, if required. Also includes records relating to individual employee participation in Defense Contract Audit Institute activities, if not appropriate for filing in 321-322.

ALL OFFICES: Destroy when superseded, obsolete, no longer needed for reference, or after 3 years.

- 700.8 Committee Representation. Records relating to representation and participation in groups specifically involved in audit matters, EXCLUDING records accumulated by offices primarily responsible for activities relating to the Cost Accounting Standards Board (see 702.4) and Standing Part 2, Section XV, ASPR Subcommittee (see 704).

CHAIRMEN: Permanent.

INDIVIDUAL MEMBERS: Destroy 5 years after termination of participation.

12B

700.9 Research, Plans and Special Studies. Records relating to research projects and special studies not otherwise covered in the 700-704 series.

ALL OFFICES: Destroy 5 years after completion of project or study.

700.10 Reference files. Files relating to the general field of audit management consisting of extra copies of documents which duplicate the official record copy filed elsewhere; rough drafts; work papers; and other material being held for reference.

ALL OFFICES: Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier.

701 POLICIES AND GUIDANCE. Records relating to the formulation of audit policy and operating procedures and the furnishing of direction and technical guidance for the performance of contract audits.

701.1 General. Records relating to policies and guidance which, due to their general nature, cannot be logically filed elsewhere in the 701 series.

ALL OFFICES: Destroy after 3 years.

701.2 DCAA Policy File. This file will contain a copy of those letters, memorandums, and other documents of continuing value, to or from higher authority, lateral or subordinate elements of DoD or other Government agencies, and industry or professional groups, which contain adequate and authentic evidence of the organization and policies of DCAA; its administrative development; the evolution of its organizational structure; and its audit policies.

OFFICE OF DEPUTY FOR AUDIT MANAGEMENT, HQ, DCAA: Retain in current files area indefinitely; *do not transfer to FRC.*

701.3 Policy Formulation. Documents relating to the development, preparation, issuance, and interpretation of directives or regulatory instructions on contract audit, including copies of interim policy statements issued prior to publication in official DCAA numbered policy publications.

12B

HEADQUARTERS ISSUING OFFICE: Permanent.

REGIONAL HEADQUARTERS ISSUING OFFICE: Destroy after 20 years.

OTHER OFFICES: Destroy when superseded or cancelled.



- 701.4 Audit Guidance. Documents relating to the development, preparation, and issuance of guidance memorandums and pamphlets relating to audit.

12A

HEADQUARTERS ISSUING OFFICE: Permanent.

REGIONAL HEADQUARTERS ISSUING OFFICE: Destroy after 20 years.

OTHER OFFICES: Destroy when superseded or cancelled.

- 701.5 Technical Data Bank. Records accumulated covering opinions, decisions, and determinations on the allowability of contract costs, including pertinent case files on contractors, an index of all material in the data bank, and related documents.

OFFICE OF THE DEPUTY FOR AUDIT MANAGEMENT: Retain in current files area indefinitely; *do not transfer to FRE.*

- 701.6 Testimony Before Judicial or Quasi-Judicial Bodies. Records relating to procurement matters involving contract audit on which hearings are held before judicial or quasi-judicial bodies, including records of preparation of testimony and other assistance to field personnel.

ALL OFFICES: Destroy after 6 years.

- 702 SPECIAL PROJECTS. Relates to research and studies involving Advanced Audit Techniques, Special Audits, and Cost Accounting Standards.

- 702.1 General. Records relating to special projects which, due to their general nature, cannot be logically filed elsewhere in the 702 series.

ALL OFFICES: Destroy after 3 years.

- 702.2 Advanced Audit Techniques. Records relating to the conducting of research and studies into pertinent scientific, business, and professional accounting developments to ascertain methods and techniques which can be used to enhance the effectiveness of contract audit, such as Statistical Sampling, Improvement Curve, and Regression Analysis.

13A

HEADQUARTERS OFFICE OF PRIMARY RESPONSIBILITY: Permanent.

REGIONAL HEADQUARTERS OFFICE OF PRIMARY RESPONSIBILITY: Destroy after 20 years.

- 13A
- 702.3 Special Audits. Records relating to research and studies for the purpose of developing data as to fields in which special audits would assist in achieving the objective of more effective procurement and contract administration, such as concurrent, multi-location examinations of selected operations or cost items of selected contractors to establish patterns, cost criteria, or proposed audit techniques; and industrywide studies to appraise unusual accounting or costing principles and practices to recommend criteria for establishing reasonableness of costs.

HEADQUARTERS OFFICE OF PRIMARY RESPONSIBILITY: Permanent.

REGIONAL HEADQUARTERS OFFICE OF PRIMARY RESPONSIBILITY:  
Destroy after 20 years.

- 702.4 Cost Accounting Standards. Records accumulated by offices having primary responsibility for DCAA actions related to the implementation of rules and regulations of the Cost Accounting Standards Board (CASB).

- 702.40 Review and Analysis of Material Published by CASB.

ALL OFFICES: Destroy after 3 years.

- 702.41 Guidance for DCAA Auditors Regarding CAS.

12A HEADQUARTERS ISSUING OFFICE: Permanent.

REGIONAL HEADQUARTERS ISSUING OFFICE: Destroy after 20 years.

OTHER OFFICES: Destroy when superseded or cancelled.

- 702.42 Briefing and Training Regarding CAS.

ALL OFFICES: Destroy when superseded, obsolete, no longer needed for reference, or after 3 years.

- 702.43 Field Requests for Information Regarding CAS.

ALL OFFICES: Destroy after 10 years.

- 702.44 Comments on Matters Referred by CASB and Staff.

ALL OFFICES: Destroy after 10 years.

- 702.45 Coordination of CAS Activity in DoD.

ALL OFFICES Destroy after 5 years.

702.46 Liaison With ASPR Section XV, Part 2 Subcommittee Regarding CAS.

ALL OFFICES: Destroy after 5 years.

702.47 Assistance to Government Member of CASB.

HEADQUARTERS: Destroy after 20 years.

702.48 ASPR Subcommittee on CAS.

HEADQUARTERS: Destroy after 20 years.

703 OPERATIONS MANAGEMENT AND SUPERVISION. Records relating to the management and supervision of contract audits performed by Field Audit Offices.

703.1 General. Documents relating to the operations management supervision which, due to their general nature, cannot be logically filed elsewhere in the 703 series.

ALL OFFICES: Destroy after 3 years.

703.2 Operations Evaluation. Records relating to evaluation of audit operations, including overall evaluation; manpower and workload evaluation; staffing of offices; organization and management; activation and deactivation of offices; evaluation of audit plans and audit performance statistics; and monitoring of evaluation of data submitted by Regions and FAOs.

ALL OFFICES: Destroy after 5 years.

703.3 Operations Management. Case or project files relating to the management and supervision of overall audit operations in DCAA, including records relating to financial capability, audit assistance and interface with DoD and other activities for which DCAA performs contract audit, review and evaluation of summary reports, access to records, C/SCSC effort, GOCO facilities, SPANS, TACT, and similar programs.

ALL OFFICES: Destroy 10 years after supersession or obsolescence.

- 703.4 Technical Audit Programs. Case or project files relating to the management and supervision of specific technical audit programs, such as IR&D-B&P, proposal evaluations, contractor estimating system reviews, defective pricing, tri-service negotiations, progress payments, Should Cost studies, university audits, terminations, and similar technical audit programs.

ALL OFFICES: Destroy after 10 years.

704 STANDING PART 2, SECTION XV, ASPR SUBCOMMITTEE.

- 12C 704.1 Case Files. Records accumulated by the Chairman of the ASPR Section XV, Part 2 Subcommittee which is charged with the responsibility for cost principles and changes thereto.

CHAIRMAN: Permanent.

760-763 AUDIT SERVICES. These file series have been created exclusively for the use of Field Audit Offices (FAO), and document the primary mission or function of the FAO, and include Contract Audit Administration (760), The Permanent File (761), Contract Audit Case Files (762), and Other Audit Services (763). FAO's will use, as required, files series listed in the primary functions 100 through 500 for all other records accumulated by the FAO.

NOTES REGARDING THESE FILES:

1. DISPOSAL STANDARDS listed herein are ultimate destruction dates based on the value of and need for the records.
2. CUTOFF OF FILES. Cutoff of files means the cutting off point for making another file folder. The purpose is to separate older file material from new, more active material. This should be done at regularly designated periods of time, such as each fiscal or calendar year, during the records clean-out campaign, or after a specific action. As an example, a file which generates an inch or more of paper in a year, would probably be broken into separate folders every year at the same time; when material is generated faster, a file may be broken quarterly; when material is generated more slowly, a file may be broken every two years. The records management program can be made easier by designating and adhering to specific cutoff dates for each category of record in the file station. Cutoff standards have not been included in the disposition standards for the 760-763 series; however, each FAO shall designate a specific cutoff standard for each file series.
3. HOLDING PERIODS AFTER CUTOFF. Holding periods between cutoff date and retirement date have not been designated for the 760-763 series. This decision must be based on sound records management practices of efficiency, economy, and frequency of reference. Each FAO shall designate a specific holding standard for each file series.
4. RETIREMENT TO FEDERAL RECORDS CENTERS. Cutoff records should be retired to the FRC when reference activity has diminished to the point that such retirement would be economical and efficient. Specific retirement standards have not been designated for the 760-763 series; however, each FAO shall establish a specific retirement standard for each file series. It should be noted that records having a retention period of 3 years or less should be retained by the FAO until date of destruction.

5. CONTINGENT RETIREMENTS. Inasmuch as some contracts may run for many years by continued extensions and modifications, there is no precise date that may be prescribed for the destruction of the case files, but such files should not be destroyed until the contract is settled. Retirement of case files should be based on reference activity. Records of settled and non-settled contract case files are CONTINGENT retirements, in that the destruction date is contingent upon an unknown factor. Retirement of contingent files requires the following actions by the FAO records management officer:

SF 135, Records Transmittal and Receipt, Item 8 (May the Records Be Destroyed as Scheduled Without Further Agency Concurrence; Check "NO.")

SF 135, Item 13: For each partial retirement, enter prior accession numbers related to the case file.

SF 135, Item 14: Enter the citation (number, title, and date) of this Manual at the top of the column on the SF 135 and all continuation sheets. Aligned with each entry in Item 13, enter in Item 14 "CONTINGENT."

Upon final settlement of the contract and the retirement of the last records relating to the contract, enter the date and year of destruction in Item 14; in Item 13, list all prior accession numbers related to the contract; notify the FRC of the destruction date for all prior partial retirements related to the contract.

See Chapter 4, Appendix B, for instructions and examples for SF 135's.

#### DEFINITIONS:

1. Final Settlement of Cost-Type Contracts as used herein includes, as applicable, settlement of all items specifically excepted in the final release, and the satisfaction of all assignments of interest executed by the contractor as conditions precedent to the payment of the completion voucher under a completed contract.
2. Final Settlement of Fixed-Price Contracts containing price redetermination, escalation, or partial payment provisions means payment for the final delivery under a complete contract or payment of the final termination claim under a terminated contract.

FILES ARRANGEMENT AND NUMBERING SYSTEM:

1. Series 762 and 763 have been aligned with the Management Information System (MIS) numbering system. Subject files are identified by the number following the decimal which coincides with either the activity or subactivity code of MIS. (NOTE: Series 760.4 shall be used for reports made under MIS.)
2. Arrangement of files and further subdivisions not otherwise prescribed herein shall be as determined by the FAO; however, all file folders shall carry the four-digit file series number prescribed herein as identification for disposal standards.

760 CONTRACT AUDIT ADMINISTRATION. Records relating to the administration of the FAO.

- 760.1 General. Documents relating to audit services which, due to their general nature, cannot be logically filed elsewhere in the 760-763 series.

FAO: Destroy after 3 years.

- 760.2 Scheduling. Records relating to the planning and scheduling of audit services, including identification of areas requiring priority action.

FAO: Destroy after 3 years.

- 760.3 Audit Guidance Memorandums. Copies of audit guidance memorandums received from Headquarters, DCAA, or Regional Headquarters. Audit guidance memorandums should be filed according to the chapter or appendix in DCAM 7640.1 to which they relate:

760.30 Relate to several chapters (should be cross-filed)

760.31 Chapter I

760.32 Chapter II, continuing through final chapter

760.3A Appendix A

760.3B Appendix B, continuing through final appendix

FAO: Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier.

- 760.4 Recurring Reports and Information Requirements. Recurring reports and one-time information requirements related to audit services not otherwise identified in 760-763.

FAO: Destroy after 3 years.

760.5 Reference Files. Records relating to the general field of audit services consisting of extra copies of documents which duplicate the official record copy filed elsewhere; rough drafts, notes, and other material being held for reference.

FAO: Destroy when superseded, obsolete, or no longer needed for reference, whichever is earlier.

761 THE PERMANENT FILE. These contractor background records are those referred to as "the permanent file."

761.1 Contractor Correspondence. Correspondence of a general nature or relating to several contracts.

FAO: Working file. Keep current. Upon final settlement of last contract held by the contractor or deactivation of the FAO, retire to FRC, hold 6 years, then destroy.

761.2 Contractor Background. This file provides basic information to new staff members, supervisory personnel, and others as to a contractor's current policies, organization, operating procedures, resources, capability, and similar information. Such records are maintained on a current basis by updating the file as additional information is obtained as a result of any audit effort and may contain duplicates of official record copies filed elsewhere. Includes copies of items such as summary reports and disclosure statements.

FAO: Working file. Keep current. Upon final settlement of last contract held by the contractor or deactivation of the FAO, retire to FRC, hold 6 years, then destroy.

762 CONTRACT AUDIT CASE FILES. Subject files are identified by the number following the decimal which coincides with either the activity or subactivity code of the MIS. (NOTE: These files are not to be used for reports made under MIS - see 760.4.)

762.01 Contract Correspondence. Correspondence relating to the specific contract covered by the case file.

FAO: Destroy correspondence of continuing interest and value 6 years after final settlement of claims and final audit action on the related contract. Transfer to 761.1 or destroy when no longer needed for reference, correspondence having no continuing interest or value.



762.02 Contracts. Copies of contracts used in performing contract audits.

FAO: When copies of contracts are readily available from the office of record or another appropriate source, copies of contracts may be disposed of immediately after extraction of the data required for the contract brief card. Classified contracts shall be returned to the office of record or disposed of in accordance with DCAAM 5205.1. Copies of contracts shall not be retired to Federal Records Centers.

762.03 Contract Brief Card. Cards containing data extracted from the contract (DCAA Form 7640-2).

FAO: Destroy 6 years after final settlement of claims and final audit action on the related contract.

762.04 Public Vouchers. Auditor's copy of the public voucher used for processing and the copy of the paid voucher received from the finance office.

762.041 Auditor's copy

762.042 Paid Copy

FAO: Only the copy of the final voucher shall be retired to the FRC as part of a settled case file. Retention and disposition of other copies is at the discretion of the FAO chief.

762.1 Incurred Costs. Records relating to the audit and review of costs which have been incurred or the appraisal of the contractor's operations and procedures which either contribute to, or have an impact on, costs charged to or expected to be charged to Government contracts.

762.11 Performance and Financial Controls

762.12 Materials and Services

762.13 Labor

762.14 Indirect Expenses

762.15 Other Reviews

762.16 All Inclusive Audits

762.17 Special Audits

762.19 Negotiation Memorandums

FAO: Destroy 6 years after final settlement of claims and final audit action on the related contract.

762.2 Defective Pricing. Records relating to the evaluation of individual forward pricing proposals and all other related papers required for the review and approval of prospective costs.

- 762.21 Individual Bid Proposals
- 762.22 Should Cost Studies
- 762.23 Agreements
- 762.24 Estimating Systems
- 762.25 Telephone Rate Requests
- 762.29 Negotiation Memorandums

FAO: If contract is awarded, destroy 6 years after final settlement of claims and final audit action on the related contract. If contract is not awarded, destroy 3 years after service is performed or advice furnished.

#### 762.4 Other Audits and Reviews.

762.42 Defective Pricing. Records relating to performing audits of contracts containing defective pricing provisions and audit reports on the results of such audits.

FAO: Destroy 6 years after final settlement of claims and final audit action on the related contract.

762.440 CAS Disclosure Statements and Revisions. Records related to the review of a contractor's initial and revised disclosure statements to determine adequacy.

FAO: Destroy 3 years after supersession or obsolescence.

762.442 CAS Compliance Reviews. Records related to reviewing contractor's disclosed practices to determine if such practices are in compliance with CAS and ASPR.

FAO: Destroy 6 years after final settlement of claims and final audit action on the related contract.

762.443 CAS Price Adjustment Reviews. Records related to review, report preparation, and resolution of price adjustment proposals to comply with new Cost Accounting Standards or from voluntary changes to existing cost accounting practices or contractor's failure to comply with applicable Cost Accounting Standards.

FAO: Destroy 6 years after final settlement of claims and final audit action on the related contract.

762.400 Other Audits and Reviews. Records relating to other audits and reviews not otherwise identified in 760-763.

FAO: Destroy 6 years after final settlement of claims and final audit action on the related contract.

763 OTHER AUDIT SERVICES. Records related to services performed by FAO auditors not otherwise covered in 760-762.

763.3 Procurement Liaison. Records accumulated by Procurement Liaison Auditors providing advisory audit services to procurement and contract administration officers.

FAO: Destroy after 3 years.

763.410 Contract Audit Coordination (CAC) Conferences. Records relating to periodic conferences of cognizant auditors of multi-divisional contractors, including plans for the conference, agenda, list of participants, minutes, transcripts of presentations and discussions, and related documents.

FAO: Destroy after 3 years.

763.411 CAC Case Files. Records relating to CAC cases which consist of problems coming to the attention of the coordinator for resolution under the CAC Program and studies undertaken under the monitorship of the coordinator, the scope of which is companywide or affects more than one location, such as access to records, problems which cannot be resolved locally, and problems that require uniform action at the contract administration or corporate headquarters level.

FAO: Destroy 6 years after Advice of CAC Case Resolution is prepared.

763.43 GAO Activity. Records relating to developing information and comments on GAO reports, including letter reports issued by GAO Headquarters and GAO Regional Offices, including records relating to discussions and conferences with GAO personnel and with DCAA, contractor, or procurement officials on GAO matters.

FAO: Destroy after 6 years.

763.435 Summary Reports. Records relating to the preparation of summary reports, including a copy of the report.

FAO: Upon supersession, transfer to 761.2 and dispose accordingly.

763.445 CAS Special Requests. Records relating to providing special CAS information or reports which are not otherwise required of the FAO in performing its audit mission.

FAO: Destroy after 6 years.

763.48 Special Projects and Studies. Records related to technical audit projects and studies formally approved by Headquarters, DCAA, or Regional Headquarters which are above and beyond the normal audit mission and do not directly benefit the audit of the contractor involved.

FAO: Destroy after 6 years.

763.49 Negotiation Conferences. Records related to prenegotiation and negotiation conferences and ASBCA hearings, EXCLUDING records relating specifically to Incurred Costs, Forward Pricing, Defective Pricing, or CAS Activity, which should be a part of the related case file.

FAO: Destroy after 6 years.

763.499 Other Audit Services. Records relating to audit services performed but not otherwise identified in the 760-763 series, EXCLUDING audits and reviews of specific contracts - see 762.499.

FAO: Destroy after 6 years.